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ABSTRACT

A six-month study and evaluation of statewide California program review procedures focused on four major questions: (1) What is statewide program review? (2) To whom is it important? (3) How does it operate in California? and (4) How can it be made more responsive to questions of quality and accountability? Four state administrative offices were studied, including the California Postsecondary Education Commission, the California Community Colleges, the California State University and Colleges, and the University of California. The resulting report contains three parts. Part I defines program review in the context of its critical relationships to academic planning, examines current literature and the experience in other states, notes changing social conditions, and describes the governing and coordinating mechanisms in California. The subordination of program review to budgeting and planning is noted. In Part II, nine recommendations are given for strengthening state and segmental planning, simplifying the review of new programs, and increasing accountability for educational objectives. They include: strengthening state and segmental planning in its relation to review of new existing programs; simplifying new program review procedures to emphasize statewide concerns; and increasing accountability for educational objectives. In Part III, interaction among the recommendations is emphasized, along with their dependence on institutional program planning and program review. (Author/PJM)

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April 1981

*A Report to the*
*California Postsecondary Education Commission*

# Quality and Accountability:

## An Evaluation of Statewide Program Review Procedures

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# INTRODUCTION

What is statewide program review? To whom is it important? How does it operate in California? How can it be made more responsive to questions of quality and accountability? These questions are answered in the three parts of this report based on a six-month study and evaluation of statewide program review procedures in California. We focus attention on the roles, responsibilities, and activities of the administrative central offices of four organizations: (1) the California Postsecondary Education Commission ("Commission"), (2) the California Community Colleges; (3) the California State University and Colleges, and (4) the University of California. The study was funded by the Commission, and this report is addressed to it. Our findings are as critical of Commission staff activity -- perhaps more critical -- than of the other organizations. The recommendations are our own.

The report has three parts:

- In Part I, we define program review in the context of its critical relationships to academic planning, examine current literature and the experience in other states, note changing social conditions, and describe the governing and coordinating mechanisms in California.

- In Part II, we present nine recommendations for strengthening state and segmental planning, for simplifying the review of new programs, and for increasing accountability for educational objectives.

- In Part III, we emphasize the interaction of the recommendations and their dependence on institutional program planning and program review.

This report had its genesis in our earlier reports on the response of ten California public college and university campuses to enrollment and financial stress (Bowen and Glenny, 1980; Glenny and Bowen, 1980). In these reports, we urged that individual campuses establish rigorous and continuing procedures for relating program offerings to enrollments, faculty staffing, and financial support. We noted that "state and segmental policies are the context in which institutional freedom to respond to stress is found and in which planning and program review procedures must operate" (Bowen and Glenny, 1980, p.55). Obvious questions are implied: What are the state and segmental policies that provide the context for institutional response to stress? Can these policies and the procedures derived from them address and resolve issues of statewide concern that will arise in the coming era of enrollment and financial stress?

To answer these questions, we have examined <u>state</u> and <u>segmental</u> policies and procedures, an examination that has necessarily differed considerably from our earlier examination of <u>institutional</u> ones. As diverse as California's more than 130 public colleges and universities are as <u>educational</u> institutions, their administrative procedures for planning and budgeting are shaped by many common constraints: Students must be registered, taught, and fed; faculty must be recruited, promoted, and paid; classes must be scheduled to bring faculty and students together; budgets must be developed, defended, and administered; buildings and grounds must be maintained; parking places must be found for everyone. At the campus level, the options available to administrators

for addressing these operational issues are limited by real students, real faculty, and the timing and sequence of real classes and programs. This reality not only allowed the risk of generalization among the campuses, districts, and colleges but also allowed consideration of a broad range of activities -- e.g., academic planning, personnel management, budgeting, enrollment projections, program review, facilities management, etc. In sharp contrast, reality is less intrusive and demanding at the state and segmental levels.

The segmental central offices and the Commission must, of course, deal with real students, faculty, and programs, also, but the breadth and nature of their responsibilities require issues to be considered in aggregation across many institutions. Academic planning, program review, budgeting, personnel, and the whole range of governing and coordinating activities at state and segmental level vary far more among the four state and segmental organizations than do the institutional counterparts of these activities among the institutions.

- The segments are three very large, highly complex organizations each of which differs from the other two and from the Commission in organization, mission, and legal authority. Each of the three segments has a unique history that has shaped its relationships with the institutions for which it is responsible. We will explore these differences at greater length in Part I.

- State and segmental staff organization for planning, program review, and budgeting reflects not only substantive differences in size and mission but in management style as well. Relative freedom from immediate operational constraints

permits staff to be aligned and realigned in each central office to reflect changing policy emphases and interests.

The enormous variations in the organization of Commission staff and the segmental central offices are to be expected. But the great variations, however necessary and desirable they may be, impose severe limitations on investigation. Description, analysis, and evaluation of academic planning, program review, budgeting, and other major state and segmental functions would require a new Master Plan investigation. But major state and segmental policies can be reflected in examination of program review, for, as we show in Part I, program review is a window from which one not only can, but must, view both academic planning and budgeting. This conclusion, drawn from our 1980 research (Bowen and Glenny; Glenny and Bowen), led directly to this evaluation of program review procedures.

This project began in late September 1980. We then sought the advice of segmental and Commission staff on study guidelines and objectives. From each organization, we requested and received a description of current program review procedures that we revised for brief inclusion in this report (Appendices A through D). Field interviews were conducted in Sacramento, Berkeley, and Long Beach, and we attended two meetings of the Intersegmental Program Review Council (IPRC), an advisory group to the Commission. During the course of the project, we obtained both information and advice from knowledgeable persons in other states.

In January 1981, we circulated summaries of major assumptions and tentative recommendations for review and criticism to Commission and segmental staff and to some two dozen other reviewers (See Appendix E). The final recommendations were developed

during February and March 1981. Time prohibited distribution of the final recommendations for additional comment from those interested in them.

This study would not have been possible without the active cooperation of segmental and Commission officers and staff. We particularly thank Ernest Berg, Carlton Bovell, Norman Charles, and Anthony Moye for their time, advice, patience, and candor. We obtained valuable information and insights from those who made time in their busy schedules to comment on our tentative recommendations. Others contributed by sharing our uncertainties with us in faculty and administrative meetings and seminars. None of those who assisted us will agree with all of the recommendations, and many will disagree sharply with some. Our recommendations are entirely our own.

# I. PERSPECTIVES

At the risk of being both tedious and overly didactic, we must begin by defining our subject and placing it in the changing context of state and segmental governance and coordination. In the first section below, we suggest that program review must be defined in terms of its relationships to academic planning and budgeting. In the second, we explore the reasons for the growing importance of program review. The third section provides the operational context in California within which program review takes place.

## 1. Program Review, Planning, and Budgeting

Review and evaluation of instructional programs pervade academic life. Administrators and faculties at all colleges and universities in the United States spend time collecting and analyzing information about instruction -- about what is taught to whom, who teaches it, and how much it costs. "Program review" encompasses such a wide diversity of activity that the term must be more clearly defined before analysis is attempted.

Sell (1980) suggests that there are four components in program review: (1) purposes, (2) organizational levels, (3) mix of participants, and (4) organizational context. All four are important for our evaluation. In general, we emphasize the first two -- purposes and levels of organization -- to define the limits and objectives of the study. The second two -- participants and organizational context -- are used mainly for analysis and discussion of California's program review procedures in the third section below.

Figure 1 diagrams the three major organizational levels of program review in California against three primary uses or purposes. The figure is intended to emphasize:

- The primacy of the purpose of program improvement and quality at the institutional level (the lower left of Figure 1).

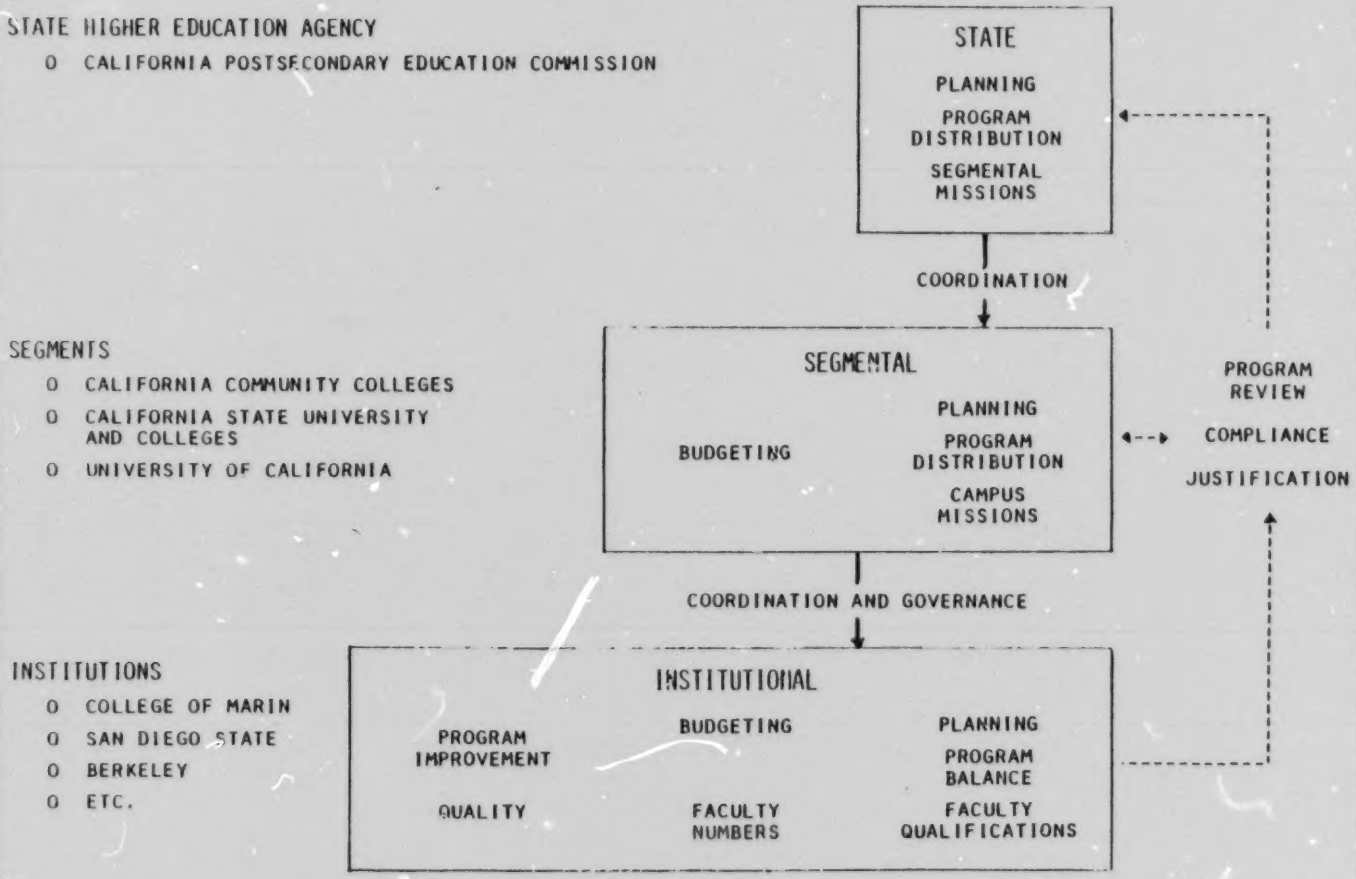
- The common purposes of planning and program distribution at the state and segmental levels (the upper right of Figure 1).

Quality: The Primacy of Institutional Program Review

We speak of the "primacy" of institutional program review to assure quality because individual professors and teachers make the most critical decisions about instruction in the classrooms, shops, and laboratories. Individual instructors modify course content based on their perceptions of changes in the state of knowledge and in the needs of society and of their students. In departments or divisions, instructors responsible for programs freely modify courses, course content, array of courses, and program requirements based on their collective judgment.

The individual and collective decisions within colleges, districts, and campuses are substantive and often far reaching. For most programs, these local reviews, evaluations, and resulting decisions provide the primary assurance of instructional quality -- of the value of higher education to students and to society. Local program review is highly disaggregated, highly personal, often informal, and usually confidential. It is, moreover, the source of most major changes in higher education. Such changes are only reviewed, if at all, after the fact. Major modifications of this type are particularly characteristic of mature institutions such as

FIGURE 1. USES, PRIMARY PURPOSES, AND ORGANIZATIONAL LEVELS OF INSTRUCTIONAL PROGRAM REVIEW IN CALIFORNIA



most of those in California: An existing course is modified to accommodate a recent technological advance; a new course is added as the subject matter is expanded; courses in other programs are found relevant to the expanded subject matter and the new technology. The new aggregation of courses and their sequence have substance and reality to instructors and students, but unless the institution wants to have the aggregation and sequence formally recognized by a new degree or certificate, neither state agency nor segmental program review procedures will reach what may well be an important and substantive modificiation of instruction. Collectively, over time, these incremental reviews and modifications usually overwhelm the supposed importance of the review of individual, new program proposals for which most of the internal and external structures and procedures for program review are geared.

In an earlier report (Bowen and Glenny, 1980), we urged that institutional program review be related to, and integrated with, instructional planning and budgeting. We expanded in that study on the importance and urgency of establishing ongoing policies and processes to accomplish this integration. Rigorous and honest review of instructional programs is essential at the institutional level because the value of every student's education at every college and university is dependent on it.

The autonomy of individual instructors is conditioned by the organizational and substantive contexts of instruction: (1) instruction in a course or program is usually dependent on that in several others; (2) the offerings of one department may be dependent on those of another department; and (3) finite institutional resources must be allocated internally. Formally or informally, intervention by administrators and organized faculty groups is

accepted at all colleges and universities as a necessary constraint on programmatic change.

But institutions do not exist in a vacuum. As essential as local procedures are, they are necessarily limited by local concerns, information, and objectives. State and segmental concerns, primarily about access and economy, cross institutional boundaries. Local procedures are necessary but not sufficient in a state supported system of many colleges and universities.

Planning: The Reasons for Statewide Program Review

The necessity of intervention by "external" agencies -- a state coordinating agency and multicampus central offices -- is not readily accepted at institutions. But institutional as well as individual autonomy is conditioned by interdependence.

- The programs of each college and university must be consistent with the mission of the segment to which it belongs, and, in California, segmental missions are defined and differentiated by statute. The state is entitled to assurance that each institution is performing a mission appropriate to its segment and not performing those that are the province of another segment.

- Several colleges and universities usually draw students from the same geographical area, and many students have the option of attending any one of these. Many courses -- particularly in the lower division -- and many programs will be offered by each institution. Common sense and the law suggest that some duplication may be unnecessary. Programmatically, low enrollments, for example, usually mean that fewer resources are available to support instruction.

But fiscally (and somewhat paradoxically), low enrollment will also mean higher unit costs. The state is entitled to justification of certain program duplication within regions among the several types of institutions.

- Some academic and occupational programs are highly specialized and appeal to a limited number of students. Often such programs may be very costly. The state is entitled to assurance of appropriate distribution of such programs among institutions and across the state.

- The state has goals and objectives that can be reached only through cooperative or consistent action on the part of all or a substantial number of institutions: student transfer, affirmative action, remedial education, and even timely and accurate information are examples. The state is entitled to assurance that its objectives are being pursued.

- The state has finite resources to distribute among colleges and universities, and students have finite resources for their educations. Regardless of program content, the state must require that public funds be equitably distributed and that questions of student access and choice based on private financial status be considered from a statewide perspective.

We think that this list of reasons for state and segmental intervention into institutional affairs is fairly exhaustive, for we carefully suggest open-ended categories such as "state goals and objectives" and "resource allocation." We elaborate on this list in the recommendations in Part II because program review at the state and segmental levels is an intervention into institutional autonomy that requires express justification.

"Intervention" is a somewhat harsh word that often reflects the perspective of institutional administrators and faculty. The view from the Commission and the segmental central offices would see program review as one of the many functions, duties, or facets of much broader governing and coordinating responsibility. This view is reflected in Figure 1, in which

- the segments are shown as using program review for "governance and coordination" and for the purposes of planning, program distribution, and budgeting. (A word of caution: Throughout this report, it must be remembered that the Board of Governors of the California Community Colleges is primarily a coordinating board rather than a governing one.)

- The Commission is shown as using program review for "coordination" only, and for the purposes of statewide planning and program distribution among segments and regions.

The Commission and the segments have quite different planning responsibilities. The segments engage in academic planning by projecting enrollments and by assuring that their colleges and campuses have facilities, resources, and programs to accommodate their students. The segmental central offices have substantial authority to limit or modify the programs that their institutions offer and project in their academic plans. To a greater or lesser extent, the segments consolidate campus plans in the development of a segmental plan -- a plan that may result in the segment's achieving more than the sum of the plans of its individual institutions. Segmental planning responsibility is reinforced by budgetary authority, the primary -- although not the only -- means through which governing policies are enforced.

The Commission, on the other hand, plans directly for neither the institutions nor the segments. Its charge is to integrate segmental plans -- to aggregate them in an orderly fashion to achieve state objectives. Moreover, although the Commission responds to inquiries about segmental budget requests from the executive and legislative branches, it does not have independent budget responsibility. At the state level, therefore, program review is for the purpose of coordination, and falls under the responsibilities of the state and segmental offices for academic planning.

At state and segmental levels, it is convenient to divide academic planning into "basic" or long-range planning and "ongoing" planning. Statewide program review implements basic planning and is an integral part of ongoing planning.

Basic Planning. The academic plans of a segment or the state may be quite specific about the programs that individual institutions may or may not offer. The California Master Plan differentiates among segmental program offerings by levels of degrees offered. Segmental plans or policies restrict the offering of degrees in specific disciplines (e.g., agriculture or engineering) to particular campuses. Basic planning limitations and objectives provide fundamental criteria for program review.

The California Master Plan's statutory provisions are the centerpiece of basic planning, for these establish the principle of programmatic differentiation of function and the structure and responsibilities of the Commission. This centerpiece is surrounded by other and equally important state policies -- e.g., agreements on differential eligibility criteria for student admissions; the Constitutional status of the University of California; student financial aid statutes and procedures, etc. Basic planning concerns more than substantive educational matters

because much of the program review activity of the Commission and the central office of the Community Colleges is guided by statute. To further complicate understanding of basic planning, state goals and objectives expressly and regularly appear in annual state budget and appropriations documents, and are undoubtedly implicit in state funding trends over the years.

Basic planning policies and objectives are likely to be scattered among a wide variety of statutes, policies, and informal understandings in every state and for virtually all state governmental endeavors. It appears essential for the responsibile governmental agencies to bring order to fragmented policy at a level of generality that permits development of operational objectives. We are aware of two recent attempts to draw together state policy for higher education into coherent statements. In 1974, a legislative resolution stated eleven statewide goals (State of California, 1974), but we have been unable to locate any later reference to these. Some 31 "state goals" were listed in the Commission's 1976-81 Five-Year Plan (California Postsecondary Education Commission, 1975, p. 12). The statement did not differentiate between goals for the state and goals for the Commission itself, and the latter appeared more numerous. Neither statement imposes priority order on the goals, nor does it appear that either has had any influence on statewide program review.

In Issues in Planning for the Eighties, Commission staff recognize the need for "clearly defined statewide goals and objectives" (California Postsecondary Education Commission, 1980D, p. 113), but find the need more easily recognized than met. As an agency with advisory authority only, the Commission cannot on its own formulate statewide goals. It can, however, collect the presently scattered policies, give them order, and, in close cooperation with the segments, articulate them so that they will be of use.

We believe that such a statement is essential in any attempt to evaluate statewide program review procedures.

At the inception of this project, we circulated a brief prospectus that stated, among other things, that we would evaluate statewide program review procedures "by considering the probable usefulness of these procedures for meeting statewide needs..." We shared the doubt that one critic expressed about our ability to identify "statewide needs," and have no illusions that we have thoroughly done so. But evaluation required that we make the attempt. Based primarily on Commission staff's Issues paper and on the two earlier statements, we assumed the following state goals and priorities solely for purposes of this evaluation:

1. diversity among segments, institutions, and programs;

2. maximum student choice of programs and institutions within available resources;

3. optimal use of state funds and other resources;

4. maintenance of policy options for the future;

5. identification and response to educational and societal needs; and

6. systematically developed new educational approaches and delivery systems.

Ongoing Planning. Basic state and segmental goals and plans may prohibit specific programs, but they provide only the most general, positive guidance on what programs may be offered. The range of possible offerings is usually restricted only by rather broadly

worded institutional mission statements: A campus is characterized as "developing" or "mature;" as "urban" or "rural;" as "technical" or "liberal arts." At some threshold of program content, expense, and size, state and segmental authorities must assure themselves of the consistency of both new and existing programs with state and segmental plans and objectives and with particular campus missions. In California and elsewhere, this assurance is commonly obtained as part of ongoing planning at one or more of three stages in the development of a program. Each stage has explicit implications for "statewide program review procedures" as used in this report:

1. Projected Programs. State and segmental planning procedures may require (as in California) that institutions annually list or otherwise project the instructional programs planned for the next several years. The rigor with which state and segmental authorities review or even read these estimates varies considerably. At this earliest stage of determining institutional expectations, a projected program may be no more than a gleam in the eye of a single persuasive professor, and at times, the need for a new program may arise so quickly that an institution cannot project it two or three years in advance.

2. Proposed Programs. Although procedures vary widely across the states and multicampus systems, most require institutions to submit detailed proposals for review, approval, or comment before the program can be established. Proposals are usually required to be comprehensive in justifying the need for the program, the ability of the institution to offer it, and the appropriateness of the program under the campus mission. The qualifications of each faculty member who will teach, for example, are often required, and an

entire proposal may run to over 100 pages. In California and elsewhere, review of these detailed program proposals at the state and segmental levels has been the primary means of assurance that the institutional offerings are consistent with state and segmental goals and plans.

3. Existing Programs. Once a program is established and in operation, state and segmental offices rarely audit its success or effectiveness. Structured segmental review of existing programs is rare, and such review by a state higher education agency -- as in New York -- is, historically, rarer still. (In the past five years, several regulatory coordinating agencies have been given this charge.) For the most part, state and segmental offices rely, as they do in California, on individual institutions to undertake such reviews, usually assuring that internal reviews are undertaken on a periodic basis. They only examine the same program or discipline across institutions when a critical need for information or evaluation arises. Internal, institutional reviews of existing programs are more or less explicit in annual budgetary processes. The latter reviews may or may not be guided by planning expectations in addition to budgetary necessities.

A word must be said about budgeting. Regardless of program quality or its conformance to an institutional mission, a program cannot and should not be established or continued unless it can be supported by adequate faculty and other resources. Until recently, enrollment growth automatically brought added resources for new programs and for improvement of existing ones. At present, however, few institutions can anticipate additional students, much less added funds for new programs. Over the next ten or fifteen years, institutional, segmental, and even state

budgeting will require careful attention to the distribution of resources among programs. This attention requires greater reliance on planning and program review than in the past. Too often, programmatic change (or lack of it) results from decisions made for fiscal reasons only. Although program reviews can be undertaken soley for budgetary purposes, they will lack primary focus on educational objectives. Of greater value are those reviews that inform ongoing planning and, in turn, direct resource allocation.

Our evaluation of procedures that reach projected programs, proposed programs, and existing ones relies heavily on the concept of program review founded in basic planning and conducted as part of ongoing planning. We are well aware of the skepticism that surrounds planning and its implementation. Despite this skepticism -- some of which we share -- state and segmental governing and coordinating bodies have responsibilities that can be exercised only by intervention in the affairs of individual institutions. If this intervention is not to be ad hoc, arbitrary, and fragmented, it must be guided by reasonably explicit knowledge of the programs that the institutions offer and plan to offer. In addition, state and segmental program plans should be reasonably explicit about the programs that particular institutions should offer and the criteria by which such decisions are made.

Doubts about the efficacy of plans and planners should inform the nature and extent of state and segmental intervention, but these doubts should not prevent the necessary development of ordered program expectations that can only be called a "plan."

## 2. Substantive Change and Procedural Stability

Two kinds of reviews of existing programs take place: An institution may examine one or more programs that it offers, or a state agency or multicampus system may conduct statewide reviews -- that is, the evaluation of similar programs or disciplines (e.g., engineering, education, history) across all or most institutions in the state. Both are as critical to academic planning as the evaluation of new program proposals or projections. But statewide or segmentwide review of existing programs has not been of high priority until recently. The reasons for the emerging importance of this type of program review and some experiences in other states are relevant to evaluation in California.

In a short paper on the history of program review, Harcleroad (1980, p. 2) states that "'Academic program evaluation,' as a specialized term, arrived only recently in the jargon of higher education." Before about 1975, segmental or statewide review of particular program types was almost always part of broad discussions of statewide or multicampus governance and coordination, usually a minor part (See Glenny and Hurst, 1971; Lee and Bowen, 1971). More recently, both institutional and statewide program review has received increasing attention in scholarly publications and in administrative practice. But past neglect is understandable:

- Planning was subordinated to budgeting during the period of growth -- a subordination that unfortunately continues in many cases. Program review was and remains more closely related to planning than to budgeting, and its protracted procedures have kept it from sharing budgeting's higher priorities.

- Program review is usually performed at state or segmental levels by administrators whose primary responsibilities are elsewhere. Neither institutional nor state agency program reviewers have the support of organized groups: There is no professional association for program reviewers such as the National Association of College and University Business Officers (NACUBO) or the Society for College and University Planning (SCUP).

Program review's subordination to budgeting and planning will continue, with separate professional organizations or career ladders unlikely to appear for program reviewers. On the other hand, there remains a third reason for low priority of program review, one that is changing: This reason is the need for program evaluation in a period of enrollment and fiscal stress.

When student and resources were more plentiful than likely in the next decade, program review was not very important to either administrative or faculty leaders, especially not segmental or statewide program review. Controversy and interest arose from time to time over an institution's aspirations to offer a new program, but most often available funds could support faculty initiative without disturbing funds for existing programs. When it became apparent that funds and students could become scarce, the possibilities of retrenchment, consolidation, and termination began to be discussed. A task force of the Education Commission of the States raised the issue in 1973 (p. 51):

> "With expanding enrollments in higher education in the decade of the '60s, the process of discontinuing programs in higher education at the statewide level occurred rarely, if at all.

> But ... new enrollment projections clearly suggest the possibility in the future of considerable consolidation, reorganization, and curtailment..."

The 1973 task force went on to suggest that although new program proposals can be judged on how they "fit the mission of the particular institution and its constitutency, there must be a different basis for phasing out or reorganizing existing programs" (p. 51, emphasis added). The task force listed ten "factors" to be considered in phasing out or reorganizing programs, and later Barak and Berdahl (1978, pp. 68-74) surveyed the incidence of the use of these factors in a nationwide survey.

In 1980, the Education Commission of the States examined approaches to the review of new programs during the coming decade, and expanded on its earlier discussion of the emerging importance of the review of existing programs (p. 47):

> "During the growth of higher education in the 1950s and 1960s, states had a strong interest in deciding where new institutions were to be built and what programs they were to offer. Although judgments were made with consideration for demand, for improvement of student access, for financing and for governance, political expansionism and economic arguments often superseded these educational concerns. One result of this unplanned expansion is that a number of states find themselves with a legacy of too many institutions in the wrong place and with the wrong programs. Because these problems will exacerbate as enrollments decline, state program review will focus more on existing programs during the 1980s."

The implications of enrollment projections for state and segmental planning and for program review remain as ominous now as in 1973:

- The impact of statewide enrollment decline is distributed unevenly among institutions and among programs within institutions. At many campuses, some programs find it difficult to attract sufficient students to justify their operational costs.

- State funding continues to be based generally on enrollment numbers. With fewer students and state funding declines, institutions find it increasingly difficult to fund new programs or to improve existing ones without shifting resources away from others.

- Competition for students increases: programs compete within institutions; institutions compete within each public segment and across segments; the public sector competes with the independent sector. The obvious danger is that competition may take the form of reduction of program quality or change of institutional mission merely to maintain numbers.

The implications of statewide enrollment decline clearly give rise to the recent interest in program review -- particularly of existing programs. As first one campus and then another find it difficult to enroll the number of students expected, the implications of enrollment stability or decline simply cannot be ignored. But demographic changes have not been the only ones to raise planning issues that program review might address. Others are relevant:

- Most coordinating agencies were established to assure "orderly growth." Charged with preventing "unnecessary duplication," some established procedures for reviewing new program proposals before a planning context had been developed, and did so because of state governmental concern over uneconomic proliferation of programs and courses. It is not accidental

that it was the California legislature, not the institutional advisory Liaison Committee, that interposed the requirement of state higher education agency approval of the establishment of new campuses (Berdahl, 1971, p. 142). With relatively minor exceptions, uneconomic proliferation is no longer an issue. The educational implications of program duplication remain.

- Coordinating agencies were established at a time when new campuses were being founded at an unprecedented rate. The state's interest in assuring that the initial steps taken by new administrators and new faculties at new locations were appropriate was largely a responsibility of governing boards -- in California, the governing boards of the University of California and the (then) California State Colleges and a variety of district boards for the (then) junior colleges. The state higher education agency also had a role in its advisory responsibility to comment on new program proposals. Now colleges and universities are, for the most part, mature institutions. Governing and coordinating procedures should be responsive to the maturation of the campuses and colleges.

- The two-year colleges in the United States are no longer seen as a primary place for sorting and selecting students for continuation in four-year schools (Riesman, 1980, pp. 184-191). Most are now distinctly independent institutions with missions and constituencies of their own. Even greater independence from the traditional bounds of higher education in remedial, avocational, and community education is being urged across the land. The question of whether two-year colleges should engage in activities not historically "collegiate" cannot be answered here. The question of whether

a state higher education agency should attempt to evaluate such activities under procedures designed for "collegiate" offerings is clearly presented.

- Across all social and economic levels, the scholastic preparation of prospective students for higher education has declined. The day is long past when ill-prepared students might be dismissed as "individuals who lack the capacity or the will to succeed in their studies" (California State Department of Education, 1960, p. 66).

Other changes over the past 15 or 20 years are equally critical: increasing concern with equal opportunity through affirmative action for ethnic minorities and women; increasing federal interest through entitlement programs in student financial aid; technological advances in information collection and its uses; and concern for consumer protection.

Separately and in cooperation, institutions, segments, and state higher education agencies in California and elsewhere have responded to most of these changes. For all of their reputed conservatism, higher education institutions have been remarkably responsive to the demands for social change. There is no reason to believe that needs and demands for response to change will be less in the next decade. But declining enrollments and fiscal stringency are likely to engender a "fortress mentality" that will resist change. In our present context, the question is whether planning and statewide program review will or should have a significant role in enhancing the possibilities of successful response to change.

Program review receives substantially more attention than in the past, but both the descriptive and the analytic literature is

more relevant to this report as a source of general concepts than as one of specific suggestions. At the analytic level, writers focus on either institutional program review or on that by state higher education agencies; the roles and functions of multicampus segments are barely mentioned.

The major work in this area is Dressel's Handbook on Academic Evaluation (1976), and it is undoubtedly of great value to institutional planners and program reviewers. But it recognizes the existence of multicampus segments in only one sentence (p. 434) -- yet in 1976, for example, we found that less than 20 percent of the institutional members of the National Association of State Universities and Land-Grant Colleges (NASULGC) were governed by a separate board; over 80 percent were part of multicampus systems. In discussion of evaluation of state higher education agencies, he does not consider the differences between single, statewide governing boards and coordinating agencies to be of "great significance" (p. 436). Dressel's discussion is valuable -- if somewhat one-sided -- in detailing the adverse impacts that statewide or segmental program planning and review can have on individual campuses.

More directly related to program review at the state and segmental levels, a perceptive article by Donald Smith states three primary functions for such reviews (1980, p. 45):

1. establishing a context within which effective institutional processes of program evaluation are at once encouraged, facilitated, and made necessary;

2. conducting certain multi-institutional program evaluations for purposes reflecting statewide rather than institution-specific problems or concerns;

3. protecting, insofar as possible, the primary responsibilities of the faculties from interventions by agencies external to or disassociated from the academic community into the work of judging academic program quality or need.

The first two functions stated are indeed primary ones. We are somewhat dubious about the third. Assuredly state executive and legislative fiscal agencies (and these are Smith's concern) should avoid intrusion into matters of academic judgment. Our experience indicates that such intrusion is rare in situations in which the first two functions are performed. Protection of academic prerogatives is a benefit of statewide program planning and review, not a purpose that can be pursued or achieved in their absence. Accountability for educational objectives cannot be separated from the processes which assure program quality at the institutional level.

Smith, as does Dressel, recognizes the difference between a single state governing board for all public institutions in a state and "boards of state-level coordinating commissions." But other than suggesting that there is "considerable convergence" between the two types of agencies (p. 43) does not further consider the differences. Interestingly, Smith's article is titled "Multi-Campus System Approaches to Academic Program Evaluation," and is concerned with the roles of single state governing boards, not multi-campus segments such as the University of California and the California State University and Colleges.

We find little literature on the relationships among the three levels of program review: institutional, segmental, and state agency. The Education Commission of the States mentions that program review "in many states is complicated by the existence of segmental systems that also engage in program review..." and

only urges that "coordination among all three levels is essential" (1980, p. 51). Aside from a brief descriptive article about coordination in Illinois (Groves, 1979), Millett's earlier comment on the state of knowledge about relationships between multicampus segments and state higher education agencies remains true today (1975, p. 62):

> "Although there has been one major study of the multicampus university (Lee and Bowen, 1971), and although there are two important studies of state coordinating and governing boards of higher education (Glenny, 1959, and Berdahl, 1971), there are no comparative studies of the three different kinds of structures. Undoubtedly varying circumstances, varying history, and varying personalities have had much to do with the particular arrangements that exist in any particular state. In the absence of any careful empirical analysis of comparison or contrast, one must fall back upon experience and observation in order to comment about these different arrangements."

Experience and observation* can be supplemented by the approaches used by others to similar problems. An examination of program review procedures in other states can be informative, but these procedures must be viewed in the context of enormous diversity in state organization, governance, and coordination of higher education.

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* We bring to this present evaluation extensive experience with state-level coordination and governance, with multicampus governance, and -- of at least equal importance -- our 1979-80 examination of the response of individual institutions in California to enrollment and financial stress.

A national survey of state-level program review activities was undertaken by Barak (1975; updated, 1979), and these activities were analyzed by Barak and Berdahl (1978). Their studies are summarized in the report of a WICHE-NCHEMS workshop on Postsecondary Education Program Review (1980), and would appear to form the basis for recommendations in this area in the recent report on state-level coordination and governance of the Education Commission of the States (1980). A collection of commissioned articles, of which the Donald Smith paper is one, is entitled Academic Program Evaluation (Craven, Ed., 1980), and is particularly useful in presenting both institutional and state-level practices.

Some findings from other state studies:

- The number of statewide or intersegmental program reviews should be kept small and be clearly focused on particular statewide issues to avoid duplication of institutional reviews.

- Program reviews are not likely to turn up great budgetary savings, but serve to achieve programmatic change, qualitative improvement, and the orderly planning and development of new programs and options. Pruning of weak programs is considered consistent with positive planning objectives.

- Each level of administration has a different and valid perspective on program review. The purpose at individual institutions is to maintain the quality and currency of programs and to facilitate the coordinated development of new program alternatives within existing resources. Although less precisely defined, the role of segmental governing boards is to control the modification or deletion of existing programs for the purposes of facilitating the strengthening of other programs or the establishing of new ones.

- Placing all institutional and segmental program review structures under a statewide umbrella increases the legitimacy of these efforts in the eyes of outside observers.

- Requiring institutions to provide formal notice of intent to plan for a new program can avoid unnecessary preparation of detailed proposals and can focus those that are prepared on state or segmental concerns.

- Joint reviews by multicampus central offices and institutions of recently established programs fill a gap in historical program review procedures.

- A program "audit" is an examination of a program in terms of a limited number of readily quantifiable indicators intended to bring problem areas to the surface. At the institutional level, audits may suggest the timing of ongoing reviews as an alternative to conducting these on routine, five-year cycles.

- Program reviews, as opposed to program audits, lead to recommendations on program change. Institutions have the primary responsbility for reviews, but these may be conducted by segmental central offices or state coordinating agencies where similar programs across campuses raise questions of possible duplication, program capacity, or where such problems might arise from development of new programs.

The current heightened interest in statewide and segmental reviews of existing programs is clearly attributable to expectations of enrollment decline and fiscal stringency. This relationship is unfortunate, for establishment or modification of review procedures under present conditions is suspect as a "retrenchment" device,

not, as should be the case, "as an integral part of institutional mid-range and long-range planning, rather than a crisis reaction to fiscal stringency" (Smith, D.K., 1975, pp. 9-10). The most sophisticated review procedures are of little use unless those at the campuses -- particularly the faculties -- internalize their responsibility for continuous reexamination of program quality.

## 3. The California Context

The findings and recommendations in Part II require an understanding of the major and critical differences among the governing and coordinating organizations in California. The California Postsecondary Education Commission (Commission), with responsibilities that comprehend the activities of the three public segments is first discussed, followed by examination of segmental differences.

### The Commission: Advice and Consultation

The responsibilities of the Commission comprehend not only the activities of the three public segments, but, for example, extend to the independent sector, to student financial aid, and to administration of federal programs. To understand its role in California, comparison and contrast with higher education agencies in other states, rather than with the California segmental organizations, is desirable. Of the three usual categories of state higher education agencies, the Commission is in that considered the weakest:

- California's Commission is an advisory coordinating agency. It can give advice in narrowly defined areas -- as in the establishment of new programs, but no one is required to follow that advice. It is charged with integrating segmental plans, but not with planning for the segments. It

can offer advice on budgets only when other executive and legislative agencies request it. About 13 states have advisory coordinating agencies.

- Stronger coordination is found in about 18 states that rely on regulatory coordinating agencies that may have specific statutory authority over budgets, planning, academic standards, facilities, and other matters. The agencies in Illinois, Maryland, and Tennessee are examples of such agencies.

- Potentially, the strongest form of coordination is represented by a single consolidated governing board that both governs and coordinates all four-year institutions in a state. The University of Wisconsin System has such a board, and its controls over new and existing programs are limited only by educational and policy considerations. There are some 16 boards of this type.

In an earlier study of state-level fiscal stringency, we found that state budget offices were far more likely to rely on single governing boards and regulatory coordinating agencies in the distribution of programs and resources during fiscal stringency than on advisory agencies (Bowen and Glenny, 1976, p. 13). On the other hand, the value of formal authority in a period of fiscal stress may be overstated. Formal authority allows a board to shift funds among institutions, to terminate programs, or to prohibit the initiation of new ones. Such authority allows this immediate response to fiscal stringency, but often the difficult decisions are delayed until a severe crisis develops. Long-range plans and implementing procedures may not be in place. Over time, consistent responses under plans provide at least as much credibility to an agency as does formal authority (Berdahl, 1975, pp. 4-5).

An advisory coordinating agency, such as the California Commission, acquires influence with state executive and legislative agencies, if at all, only through the quality and perceptiveness of its studies and recommendations. To be effective, however, the Commission must have credibility also with the segmental central offices and the institutions. Such credibility depends not only on the quality of its work but also on the perceived competance of Commission staff and on their skills in negotiation and persuasion.

During the first 15 years of coordination in California, the state higher education agency (the Coordinating Council on Higher Education -- CCHE) had little credibility with either state agencies or the segments. The reasons have been explored by others (Palola, et al., 1970; and particularly Smelser, 1974, p. 123), and we need not repeat them here. What is important for the present study is the increasing credibility of the successor Commission: Its advice was sought when state fiscal agencies implemented Proposition 13 and when they considered the possible passage of the revenue limiting initiative, Proposition 9, in early 1980; its research reports reach current, emerging, and consequential issues -- e.g., the impact of differential tuition on access, off-campus instruction, changing patterns of articulation, etc. For reasons examined later, the Commission's role in the review of new and existing programs has not shared in what we perceive as the growing prestige, credibility, and influence of the Commission.

Segmental Diversity: Planned and Unplanned

The 1960 Master Plan for California higher education, whether considered as a "plan" or a "treaty" (See Palola, et. al., 1970, pp. 164-170), clearly mandated specific differences across the segments that were to continue indefinitely. Planned, statutory

differentiation of function is the most visible aspect of segmental diversity, but it has implications for program review that are less visible. Other factors -- planned and perhaps unintended -- have equally important influence on statewide program review procedures.

Planned Diversity. The two most critical aspects of the California Master Plan are: (1) differentiation of function among the three public segments and (2) differentiation of eligibility standards for admission of students.

Differentiation of Function. The Master Plan allocates responsibility for basic research, doctoral programs, and professional programs such as law and medicine to the University of California. The State University and Colleges share responsibility for undergraduate education and graduate education through the master's degree with the University of California, but can offer doctoral programs only jointly with it or with independent institutions. The Community Colleges have responsibility for lower division academic programs, for occupational and vocational programs that do not lead to an associate degree, and for service to local communities.

An important result of differentiation of function has been an "automatic" distribution of most programs by degree level. Neither CCHE nor the Commission has had to face the proliferation of programs that in other states has required extensive and controversial reviews of existing offerings (Louisiana and New York, for example; see Mingle, 1978, pp. 60-64). Monitoring adherence to prescribed differentiation of function, largely through review of new programs, remains a major responsibility of the Commission.

Differentiation of Eligibility Standards. Under Master Plan policy, eligibility to attend the University of California is limited to the upper 12½ percent of California's high school graduates. The State University and Colleges can draw entering freshmen from the upper one-third of high school graduates, and all California citizens over the age of 18 living in a district may attend a local Community College.

The differential eligibility standards, even as they have been relaxed by exceptions over the years, were and are more exacting as a matter of state policy than those in other states. The high selectivity for the two four-year segments was justified in view of the authors of the Master Plan "because the junior colleges relieve them of the burden of doing remedial work" (California State Department of Education, 1960, p. 66). To deal with prospective "numbers" as well as "quality," the authors of the Master Plan also recommended that even eligible lower division applicants be diverted from the four-year segments to the Community Colleges: The ratio of lower division to upper division undergraduates in the four-year segments was to be reduced to, and maintained at, 60/40 (p. 59). Thus, a number of high school graduates would be required to enter a community college although their ultimate goal would be a baccalaureate degree. Although differential eligibility is still a viable part of the statewide structures and processes, the 60/40 ratio is not.

The implications of differential eligibility standards for program review are more subtle than those of differentiation of function:

- Baccalaureate and master's programs at the University of California may be distinguished from those at the California

State University and Colleges by the scholastic qualifications of their students as well as by program content.

- The existence and distribution of lower division academic transfer programs in the Community Colleges appear to be the only assurance of access to four-year programs for the scholastically lower two-thirds of high school graduates -- at least those who cannot be admitted to a four-year segment as an exception to regular standards.

- Remedial education in the Community Colleges is a matter of statewide concern to the extent that differential and highly selective eligibility standards are supported by it.

Unplanned Diversity. Segmental program review procedures are part of the governing and coordinating processes of three very different segmental organizations. Some five major differences are relevant to this report:

Legal Structure and Responsibility. The multicampus University of California and California State University and Colleges have governing boards, but the Board of Governors of the Community Colleges is a coordinating board. Far more than the two four-year segments, the Community College central office depends on specific statutory authority to obtain compliance from the locally governed institutions for which it is responsible.

Size. The University of California has nine campuses; the California State University and Colleges has 19; and the Community College central office is responsible for 106 colleges in 70 districts. Program review procedures that are desirable and

feasible in one segment may not be in the other two simply because of the numbers of programs and institutions involved.

Financing and Budgeting. The two four-year segments receive state funding based on the numbers of students that they expect to enroll. Although the bulk of funds so received is distributed to the institutions according to their projected enrollments, each segment can shift some funds among institutions when the need arises. The Community Colleges, on the other hand, receive state funds based on actual student attendance in courses and programs that have been approved for funding by the segmental central office. Within a reasonable tolerance for the accuracy of projections (2 percent), the two four-year segments historically have adjusted to closed-end funding in contrast to past, almost totally open-ended funding of the Community Colleges. The exact form of future Community College funding is uncertain, but abandonment of open-ended funding is almost certain.

Faculty Roles. The systemwide Faculty Senate of the University of California has formal responsibility for courses and degrees, and it plays the major, substantive role in segmental program review. Faculty in the State University and Colleges have not had a similar role in segmental program review until the recent establishment of a segmental Planning and Program Review Committee on which their representatives sit -- the committee is advisory to the central office administration. Faculty at the Community Colleges have no role in segmental program review.

The findings and recommendations which follow recognize existing diversity and the value of continuing it. They also recognize that this diversity has been fostered by, and is a part of, a state-supported system of higher education. Although obscured by historical origins, differences in legal authority, and by

a variety of funding formulas, the interdependence of the institutions in all three segments is real. The Commission and the segmental central offices must manage this interdependence, for they have responsibility for economical operation of programs across campuses and for student access on a geographical basis -- for the distribution of programs across the state. State and segmental procedures must evidence accountability for program distribution, but must not lose sight of the fact that only institutional faculty and administrators can assure that programs, however distributed, have value to students and the community.

## PART II. RECOMMENDATIONS

Our recommendations envisage an increased role for state and segmental program review, but, for the most part, without increasing current state and segmental authority. The first line of defense of instructional quality must remain at each institution. The nine recommendations fall into three broad, overlapping areas: planning, new program procedures and accountability.

1. Strengthening state and segmental planning in its relation to review of new and existing programs is emphasized in the first five recommendations for:

   - o basing review of new and existing programs on operational state and segmental program plans (Recommendation 1);
   - o developing operational segmental program plans and institutional missions (Recommendation 2);
   - o integrating segmental program plans into state plans (Recommendation 3).

2. Simplifying new program review procedures to emphasize statewide concerns is stressed in Recommendations 4 and 5 for:

   - o shifting emphasis away from review of detailed proposals to projections in program plans (Recommendation 4);
   - o reducing the number of detailed proposals subject to review by the Commission (Recommendation 5).

3. Increasing accountability for educational objectives is emphasized in the final four recommendations for:

- o increasing reliance on institutional and segmental reviews of existing programs (Recommendation 6);

- o identifying and addressing statewide issues across segmental boundaries (Recommendation 7);

- o assessing the implementation of a small number of newly established programs (Recommendation 8);

- o eliminating the direct relationship between program and course approval and state funding in the Community Colleges (Recommendation 9).

RECOMMENDATION 1. THE COMMISSION AND THE SEGMENTAL CENTRAL OFFICES SHOULD BASE REVIEW OF NEW AND EXISTING PROGRAMS ON STATE AND SEGMENTAL PROGRAM PLANS

Academic program planning in California's public sector should consist of at least three levels of relatively formal activity:

1. Each institution should have a mission from which operational objectives can be derived to justify continuation of existing programs and to permit projection of new ones.

2. Each segment should have operational objectives in program plans under which existing programs and those projected in campus plans can be analyzed and related to segmental concerns that cross institutional boundaries.

3. The Commission should have a state plan under which existing and projected programs in segmental plans can be analyzed and related to statewide concerns that cross segmental boundaries.

The major criterion in evaluating either an existing program or one that is projected for future establishment should be its consistency with, and contribution to, an institutional mission.

Discussion

The major finding of this report is that state and segmental reviews of new and existing programs are not guided by ordered expectations of the relationships between academic and occupational programs and state and segmental policies and planning objectives. Currently, on a program-by-program basis, each new institutional proposal is measured by Commission and segmental central staff against

valid and important, but almost free floating, concepts that include, for example, differentiation of function and unnecessary program duplication. These fragmented reviews are blunt instruments at best for reaching precise programmatic objectives. Is a new program "unnecessarily duplicative" of one at a nearby campus? The question can be answered only with knowledge of the institutional missions and objectives, of the segmental plans for the institutions, and of the Commission resolution or integration of segmental plans.

We have no evidence that fragmented program review has caused any harm to higher education in California. It is difficult to know whether past controversies would have been avoided by program plans or whether they would have merely moved to an earlier stage of the process. Probably, however, program-by-program review of detailed proposals has caused little harm because it has been out of the mainstream of governing and coordinating concerns at the state level. In a period of growth, most new programs could be justified without difficulty. More recently -- particularly since Proposition 13 -- programmatic issues have been subsumed under more urgent fiscal ones.

Even in fragmented form, Commission and segmental program reviews have been of some help. They have not been idle exercises, for they have been a forum in which statewide issues and objectives have been brought to bear on specific program proposals. Each successive level of the currently required reviews of detailed new program proposals doubtless added something of value to the programs. But the incremental values added were unlikely to be worth the costs.

More should be expected of the program review responsibilities of the Commission and the segmental central offices than that

they cause little harm and achieve some good. Reviews of new and existing programs should be one of the major ongoing processes for maintaining the largest and most prestigious system of public higher education in the United States over the next decade. The balance of our recommendations state our belief that this more valuable role can be achieved by:

- o placing review of new and existing programs on the firm foundation of institutional, segmental, and state program plans;

- o simplifying procedures for review of new programs to highlight statewide issues for resolution in the context of program plans;

- o modifying procedures for review of existing programs to reach issues of accountability for the objectives in program plans.

RECOMMENDATION 2. ALL SEGMENTS SHOULD CONTINUE CURRENT EFFORTS TO DEVELOP OPERATIONAL PROGRAM PLANS AND INSTITUTIONAL MISSIONS FOR USE IN REVIEWING INSTITUTIONAL PROGRAM PLANS.

Segmental program plans should aggregate institutional program projections and relate these to existing programs at levels of generality determined by the need to resolve relevant state and segmental issues. Segmental program planning should reflect unique segmental responsibilities, organization, and governance, but to be operational, each segmental plan should:

- o be based on a current inventory of existing programs;
- o state campus missions with at least enough specificity to include objectives of existing programs or program areas;
- o annually project planned new programs or program areas over the next five years;
- o relate projected new programs to segmental objectives, institutional missions, and similar programs elsewhere in the state, segment, and region, where appropriate.

Discussion

Institutional missions and segmental program planning are probably more important than state-level Commission planning. Segmental expectations of institutions can -- at least in the two four-year segments -- be encouraged by governing authority over budgets, personnel, and buildings, as well as by program plans and program review. It is not accidental that program planning in the Commission and in the Community Colleges, both coordinating -- not governing -- agencies, lags behind that of the four-year segments. Nor is it a coin-

cidence that program planning in the State University and Colleges appears more effective than that in the University of California, for the demands of planning at segmental levels place it in the hands of administrators rather than faculty. Administrators in the California State University and Colleges central office have almost complete control over academic programs, a position enjoyed in the University of California by the Faculty Senate.

Differences in governing vs. coordinating authority and in administrative vs. faculty influence create differences in the ease with which effective planning can be achieved and in the precise form that it can take, but they are not excuses for avoidance of planning.

Community College Program Planning

Currently. It is easy to criticize segmental planning in the Community Colleges, but is is equally easy to understand the many problems that make planning in this segment almost astronomically more difficult than in either the University of California or the California State University and Colleges. It is far more difficult to suggest solutions than to state the problems.

The Community Colleges issued a Five-Year Plan (California Community Colleges, 1976B) and updated it. The plan appears to have no impact on program review. Institutional program offerings and projections are collected and published (California Community Colleges, 1979B). Although extensive data is collected, it is fragmented and unrelated, and "there is no assurance that all colleges are planning adequately" (California Community Colleges, 1979A, p. 51). Institutional program projections are sent to the Commission without analysis by the Community College central staff, and the Commission staff do not analyze them because of their apparent inaccuracy (See Appendix A).

Planning in the Community Colleges does not provide a fruitful context for segmental program review.

As a planning agency, the Community College central office shares with the Commission the problems of being primarily a coordinating body. The sheer number of districts and campuses and their great diversity pose obvious problems, and so does the dependence of program offerings -- especially occupational ones -- on widely varying, sometimes rapidly changing, local community needs. Most recently, the greatly increased dependence on state funds had dominated, and continues to dominate, Community College central office priorities. Four additional limiting conditions on effective planning are found:

1. Compliance with legislative mandates and assuring district and college compliance dominates central staff activity. The number of mandates is legion (Nussbaum, 1979A), and mandated prior review and approval of all new credit programs and courses is one of particular concern to this study.

2. The Community College central office complies with the legislative mandates as best it can within limited resources, but lacks an organizing purpose from which compliance with what the law requires can be extended to educational leadership to benefit students and the state.

3. The Community College central staff concerned with program review appear to view the districts and colleges with distrust and suspicion. Some tension between the coordinators and the coordinated is both inevitable and healthy, but the attitudes of the Community College central staff were quite different than those found in the central offices of the two four-year segments.

4. In urban areas, district boundaries can artificially limit student access and rational program distribution among adjacent districts. At the same time, very large multicampus districts can plan for, and differentiate among, a number of colleges serving large population centers.

These four limiting conditions are serious, and the first three may be inherent in the lack of clarity of purpose or mission of the two-year colleges. An experienced and perceptive observer suggested that the two-year institutions differ from the four-year ones in lacking public consensus on their offerings. The dominance of mandate over discretion, the uncertain role of the central office, and the distrust of districts and colleges may all have a common source in reasonable differences of opinion about the substance of two-year college offerings. Effective program planning and review in the Community Colleges may be dependent on resolution of disputes over educational matters -- controversy that is oversimplified under the rubrics of "basket-weaving" and "macramé."

Recommended Change. The Community College central office should assume a leadership role in educational policy in its areas of statewide responsibility. It should require realistic district and college program plans, should develop appropriate classifications for analysis of them that are related to statewide concerns, and should prepare segmental program plans that reflect such analysis and state and segmental educational policies. Historical origins in the public schools, lack of public and professional consensus on program offerings, largely coordinating rather than govening authority, and complex and uncertain state funding procedures combine to make effective planning in the Community Colleges far more difficult to achieve than in the other two public segments.

California State University and Colleges Program Planning

Currently. Program planning in the California State University and Colleges is highly structured at the segmental level, and has a long history. New programs are projected by campuses and reviewed by the segmental central office in the context of those projected in the plans of all campuses (See Appendix C). Until recently, however, emphasis has been on review of the detailed proposals that are subsequently submitted. Currently, review of projected programs is receiving greater emphasis. Planning procedures have been recently modified to require that campuses justify the new programs that are projected in plans in terms of campus missions. The additional planning requirements seem directed primarily toward improving campus academic planning, but their benefits also enhance the program planning and review capabilities of the central office of the California State University and Colleges: Attention is being deliberately shifted from detailed proposals to program projections that are briefly and expressly related to emerging campus missions.

Recommended Change. We assume that the shift toward greater emphasis on review of program projections will continue and that the Commission will be informed of the results of the analyses whenever appropriate. If this is the case, the procedures in the California State University and Colleges may provide a model for the other segments -- not one of specific formal procedures, but rather of the concepts that this recommendation endorses.

University of California Program Planning

Currently. University of California program planning at the segmental level is in the final stages of change. At present, the central office collects campus projections of new programs by

title only, largely, we believe, because of Commission requests that it do so. These projections are forwarded to the Commission with analysis being limited to reconciliation of the current projections with earlier ones (See Appendix E). Programs so projected range from those in the final stages of approval to those that are mere aspirations. The segmental Faculty Senate (to which authority over programs and courses has been delegated by the governing board) does not appear to be a party to the projections forwarded to the Commission. In a structured, but largely undocumented, three-year rolling resource allocation process that involves a number of "campus visits," campus program plans and projected programs are discussed for both budgetary and academic planning purposes (Bowen and Archibald, 1977, pp. 16-17).

Recommended Change. Although still under discussion, emerging University of California planning procedures contemplate that the central office will review new programs to achieve "their consistency with major Universitywide objectives ... [and] ... selective coverage on each campus in light of local strengths and opportunities" (University of California, 1980C, p. 52). Developing more precise campus missions -- "selective coverage" -- after a history of "general campus" aspirations will not be easy. It is necessary, however, and should result in more informed justification to the Commission than in the past of new programs that, on their face, are duplicative of those at other campuses. And responsibilities for research and doctoral education along with the legitimate authority of the faculty over academic programs will probably prevent University of California program planning from being as orderly and formal as that in the California State University and Colleges. The changes recommended in this report appear consistent with the direction of emerging procedures in the University of California.

RECOMMENDATION 3. THE COMMISSION SHOULD ANNUALLY INTEGRATE SEGMENTAL PROGRAM PLANS INTO A STATE PROGRAM PLAN THAT INCORPORATES EXISTING PROGRAMS AND PROJECTS NEW PROGRAMS FOR A TWO TO FIVE YEAR PERIOD.

The Commission's statutory responsibility for preparing a five-year state plan for postsecondary education and updating it annually should be interpreted to include integrating segmental program plans into a state program plan. Such a state program plan would be in addition to, not a substitute for, the current issue-oriented Commission planning processes. At a minimum, the integrated state program plan should:

- o list the new programs projected in segmental program plans by title and by projected date for establishment;
- o identify the statewide issues, if any, raised by the projected new programs;
- o detail the resolution of the statewide issues presented;
- o identify issues to be included in the review of segmental program plans for the following year.

Commission and segmental central office staff should make diligent efforts in the program planning process to resolve most statewide issues -- e.g., possible unnecessary duplication, appropriate differentiation of function, etc. -- at least two years prior to the date planned for establishment of the projected new program.

Discussion

The law and current Commission guidelines for program review are, we believe consistent with this recommendation. But change is

required because practice has not, despite good intent, been consistent with policies. Commission staff is justified in attributing much of the inconsistency of practice to shifting policy priorities, turnover of staff and leadership, some lack of responsiveness of one segmental central office, and, most recently, general disruption in the aftermath of Proposition 13. We do not underestimate these difficulties, many of which will persist, but if effective program planning is given higher priority by the Commission, it can be achieved.

Currently. The emphasis of the Commission in its first Five-Year Plan (California Postsecondary Education Commission, 1975) has been on statewide issues that are not related to specific programs. This emphasis is necessary and should be continued; it informs Commission initiatives and responses at the state level in its difficult and tenuous middle position between the segments and state government. But the Commission's statutory charge to "integrate the planning efforts of the public segments" (Education Code, Sec. 66903) can be interpreted to include another form of planning: Existing academic and occupational programs can be ordered along with projected new programs that are in the planning stage. The precise form of ordering would depend on the reason for analysis. Although integration along this line was originally contemplated, it seems to have become incidental to the Commission's issue-oriented planning (e.g., the limited discussion of planning and program review relationships in a recent update. California Postsecondary Education Commission, 1978C, pp. 29-30).

Because integrated program planning is lacking, the segments currently submit only the titles of projected programs at the planning stage. This weak procedure leads staff to review highly detailed new program proposals on a fragmented, program-by-program

basis. Detailed proposals encourage probes of curricular and staffing details to the detriment of attention to statewide concerns and institutional missions.

Recommended Change. Commission staff should develop an integrated program plan from segmental program plans. The Commission and the segmental central offices should resolve statewide issues as they arise in projections of programs two to five years in advance of their establishment. Resolution should not be deferred in the absence of explicit justification based on pending or proposed studies or on a need for additional information directly related to the program under consideration.

The intent of this recommendation is to require the Commission to examine new and existing programs at a level of generality appropriate to its statewide concerns -- to examine the forest rather than the trees. It is not the intent to have the integrated state program plan be one from which deviation would be considered a defect. Program projections have not been particularly reliable in the past (Elms, 1980, p. 178; Lee and Bowen, 1975, p. 44), although reliability may increase when more than a title must be projected. But needs change over time, and response to these may be urgent, particularly for occupational programs in the Community Colleges. Changing needs, social conditions, funding, and even faculty minds all require an expectation that the integrated state program plan adapt with ease to additions and deletions of projected programs.

The Commission's integrated state program plan should be considered primarily a framework for analysis. Only secondarily, if at all, should it be taken as a reflection of Commission expectations that particular programs will be established on a day

certain. This recommendation is intended to focus, not to increase, the Commission's limited authority over, and responsibility for, academic program planning.

Should there be wide distribution of the integrated state program plan with its orderly projections of new programs into the future? Certainly, faculty and administrators at each public institution should know the present plans of all others when these have reached the stage of formal projection. On the other hand, high school and other student counselors might well give projections in a formal, widely distributed plan more credence than is warrented; current projections of the University of California and the State University and Colleges that are reviewed by the Commission are not widely distributed for that reason. We would urge as wide a distribution as possible, but with suitable warning about the possibilities of change.

Implementation of this recommendation should not increase Commission staff workload. Time now used for reviewing detailed proposals would shift to reviewing them as projections in segmental plans. The recommendation would require closer working relationships between Commission planning staff and those responsible for program review.

RECOMMENDATION 4. THE COMMISSION, IN REVIEW OF NEW PROGRAMS, SHOULD SHIFT EMPHASIS FROM DETAILED INDIVIDUAL PROPOSALS TO SUMMARY PROJECTIONS OF PROGRAMS THAT APPEAR IN SEGMENTAL PROGRAM PLANS.

The Commission should evaluate new programs at the planning stage and at a level of aggregation and generality that is appropriate for consideration of statewide concerns that cross segmental boundaries. Institutional program plans and the segmental program plans that aggregate or consolidate them should project new programs from two to five years in advance. As part of the state program planning process, the Commission should be furnished with a substantive, but brief, "prospectus" of each projected program that would include:

- a description of the program, as well as the title;
- a statement of the perceived need for the program;
- a statement of the relationship of the program to the institutional mission and to other programs at the institution;
- an identification of the statewide or segmentwide issues, if any, presented by the projected program, and a statement of their resolution or proposed resolution.

Segmental central offices should consider similar shifts in emphasis in their review of new programs planned and proposed by institutions.

Discussion

This recommendation complements those for program planning structures and processes. Program planning will enhance the capacity of the Commission and the segmental central offices to reach and

resolve issues of statewide and segmental concern. Implementation of the present recommendation will simplify and reduce institutional involvement in Commission processes.

Donald Smith (1980, p. 45) states that a primary function of program review at the state and segmental level should be "establishing a context within which effective institutional processes of program review are at once encouraged, facilitated, and made necessary." Current requirements that every detailed proposal for a new program must be subject to review by the Commission are not a context for effective institutional planning.

Opinion was unanimous during the interviews that effective program review requires that those conducting it believe in the usefulness of their efforts. State and segmental policies should encourage campus perceptions of usefulness by allowing "the widest latitude for institutional selection of policies and procedures for developing their own evaluation practices (Smith, D.K., 1980, p. 47).

At state and segmental levels, the easy decision is to "ask for everything from everybody," and then to sort through what is given for solutions. The easy decision at these levels is not the easy one for the institutions, nor is it the most likely one to reach critical statewide issues. A more difficult decision requires discrimination between what should be required from the institutions and what should not on grounds of explicit statewide or segmental concerns. It is this more difficult course that is recommended here.

Currently. The law requires the Commission "to review proposals by the public segments for new programs" (Education Code, Sec. 66903). It defines new programs as a sequence of courses leading

to a degree or certificate, and appears to limit these to programs that "have not appeared in a segment's or district's academic plan within the previous two years..." (Education Code, Sec. 66904). Commission guidelines state (California Postsecondary Education Commission, 1975, p. F-6):

> "By considering programs two to five years prior to their intended implementation date, Commission staff will diminish the need to subject each program proposal to intensive review. The staff will nevertheless request, as information copies, proposals for all programs approved by the segments and will reserve the right to comment on any proposal submitted."

In the absence of integrated program planning, projected programs have not been screened out. In 1978, Commission staff identified over 1,000 projected programs as representing possible unnecessary duplication or questionable need, and stated that these would "be reviewed thoroughly by Commission Staff" (California Postsecondary Education Commission, 1978B, p. 15). This large number should be contrasted to the 139 new program proposals actually reviewed in 1976-77 and the 136 in 1977-78 (California Postsecondary Education Commission, 1978B, p. 1). Instead of screening out programs at the planning stage, review of projected programs has been a net in which they were caught for later "intensive" review.

Our criticism is of the process, not of staff, whose fault, if any, is in overabundance of caution. An operational program planning context does not exist, and only the titles of the projected programs are available for review. Caution is understandable. On the other hand, the large number of programs identified for "intensive" review in 1978 is some evidence of little attention to the cost of the caution. Interviews provided additional evid-

ence at both Commission and segmental staff levels. We did not find as much concern as we expected about the burden that preparation of detailed new program proposals imposes on institutional faculty and staff. Yet this burden obviously erodes time available for primary responsibilities; moreover, it discourages risk and may encourage controversy:

- The establishment of a new program entails substantial risk on the part of its proponents -- particularly now that support must be drawn from another part of the institution. Risk must be encouraged, however, for neither expanding knowledge nor community needs will diminish because of declines in enrollment or state revenues. Unnecessarily cumbersome procedures have what a college president called a "chilling effect" on institutional initiative. Institutions should be able to test creative ideas at segmental and Commission levels without the burden of preparing lengthy and detailed proposals.

- If faculty and administrators may be reluctant to undertake a new venture because of burdensome procedures, they are reluctant to abandon even minor facets of it once a detailed proposal has been prepared. Current procedures probably assure unnecessarily spirited defense of trivia.

Recommended Change. Under this recommendation, Commission staff would review short, summary projections of new programs rather than detailed proposals:

- New programs should be projected in segmental plans at least two years in advance, and the Commission should be furnished with a brief but substantive "prospectus" for each.

- Either by cover letter forwarding institutional program projections or in a segmental program plan consolidating these, the segmental central offices should advise the Commission of segmental and statewide issues presented and the resolution of them. Segmental submissions should review the projected programs of all their institutions for the entire period for which projections are made.

Our recommended program planning and review procedures would substitute brief statements of projections for most types of detailed proposals. But even greater simplification may be possible:

- We seriously question whether the Commission should review new occupational certificates either as proposals or as projections. Rapid institutional response to changing employment markets is not conducive to accurate long-term planning. Moreover, Commission staff qualifications for state-level planning and program review are not likely to include sensitivity to the noncollegiate roles of the two-year colleges.

- Proposals for new undergraduate degree programs in traditional liberal arts areas from the University of California and the California State University and Colleges are now apparently received "for information" only by the Commission, although the right to comment on them is reserved. It would seem that little of value would be lost if approval of all but certain specified baccalaureate and associate degree programs were the responsibility of the segmental central offices.

The Commission cannot, of course, ignore all occupational programs and all undergraduate and associate degree ones. Assurance that

institutional offerings are within Master Plan boundaries of differentiation of function need not subject every new program to possible detailed examination of curriculum, staffing, and the like. Specific statewide program concerns -- e.g., computer science and technology, bio-medical technology, etc. -- arise from an economic need to limit access on a regional basis, for example, or from articulation issues between two-year and four-year institutions. The Commission might avoid seeing even projections for certificate and undergraduate degree programs that do not fall within identified areas of state concern. Access to segmental program plans would show when the segments were projecting programs outside of these areas, and could alert the Commission to emerging state issues.

RECOMMENDATION 5. THE COMMISSION SHOULD REVIEW DETAILED NEW PROGRAM PROPOSALS ONLY IN EXCEPTIONAL SITUATIONS.

The Commission should base decisions about new programs on the summary statements of the programs that are projected in annual segmental program plans. The initial projection of a program, two to five years before its planned establishment, may consist of only two or three brief paragraphs, but it should be sufficiently specific to raise possible, substantial statewide issues -- e.g., access, possible unnecessary program duplication, etc. Commission and segmental central office staff should identify, explore, and resolve these issues as the projected date for program establishment moves forward in successive segmental program plans.

In exceptional situations, the Commission may be required to review detailed proposals, and may do so if:

- The program has not been projected in prior segmental plans.
- The issue is such that a decision would require information not available until shortly before the projected date for program establishment -- e.g., a decision may turn on enrollment trends in similar programs at other campuses in the region; or on completion of articulation agreements, etc.

The Commission should not defer comment on a program projected in a segmental plan without stating the reason for deferred comment and advising the segment of the additional information required.

Discussion

This recommendation is separately stated for emphasis. It is discussed at length under Recommendation 4 which proposes shifting

the current emphasis away from review of detailed proposals to earlier review of summary statements of projected new programs in segmental program plans.

Although review of individual proposals without the context of a state or segmental program plan can reach some statewide issues (e.g., reminding a segment of its responsibilities for regional distribution of graduate programs), experience suggests that it may not do so (e.g., issues raised concerning a new school of public health in San Diego). Additionally, fragmented examination of detailed proposals encourages excessive attention to curricular particulars that are matters of judgment for institutional faculty. Commission and segmental program reviewers should be persons with appropriate academic backgrounds, but these backgrounds make it almost impossible for them to avoid acting as though they were members of a campus curriculum committee when faced with a detailed proposal. One experienced staff member suggested that the detail of new program proposals submerged analysis of state or segmental issues under a sea of criticism of curricular details.

Currently. Because of lack of an integrated state program plan and because of requirements for information copies, all detailed new program proposals are subject to review and comment by the Commission.

Recommended Change. Only brief summary statements of the new programs projected in segmental program plans would be reviewed. The only exceptions would be those regarding new programs that are not projected in plans and those that require specific studies or more current information than would be available at the projection stage.

Perhaps the major problem that we foresee with implementation of this recommendation arises from difficulty in accurately projecting Community College occupational programs:

- Occupational programs are intended to be responsive to current local needs, and a short lead time between perception of the need and establishment of the program is essential. It would seem likely that most programs not projected in segmental plans two years or more in advance would be occupational programs not projected in Community College segmental plans.

- But if the Commission is to review detailed proposals of all programs not projected two years in advance of establishment, then most of its reviews would be of detailed proposals for new occupational programs. Neither by experience nor qualification, are Commission staff likely to be sensitive to local community needs, to the instructional requirements of occupational programs, or to the possible urgency of establishment.

As suggested elsewhere in this report, the Commission might limit its program planning for occupational programs to specifically identified programmatic areas, and rely on the Community College central office to be the final review agency for the great bulk of occupational program projections and proposals. The Community College central office should consider the necessity for its own prior review of all of these programs.

RECOMMENDATION 6. THE SEGMENTAL CENTRAL OFFICES SHOULD CONTINUE TO DEVELOP AND IMPROVE PROCEDURES FOR SEGMENTAL REVIEW OF EXISTING PROGRAMS, AND SHOULD SUPPORT EMERGING INSTITUTIONAL PLANNING AND REVIEW PROCESSES.

The segmental central offices should assume primary responsibility for assuring that existing programs at their institutions are consistent with state and segmental objectives and program plans.

- On at least an informal basis, the other segments and the Commission should be advised of prospective segmentwide reviews of existing programs or program areas.

- The Community Colleges central office should (1) determine whether its current procedures for review of existing occupational programs (COPES, SAM, etc ) are adequate to meet segmental program planning responsibilities, and (2) develop guidelines for identifying areas in which segmentwide review may be required to resolve issues relating to existing academic programs.

- The central office of the California State University and Colleges should develop guidelines for identifying areas in which segmentwide review may be required to resolve segmental program issues.

- The central office of the University of California should develop, to the extent feasible, comparable definitions of instructional data elements for use by the campuses in review of existing programs.

All institutions should have program planning and review processes that relate existing programs, projected new programs, institutional

mission, and instructional staffing levels to budgetary decisions. The segmental central offices should encourage and support the development of these processes.

Discussion

A major function of "multi-campus" level program review is "conducting certain multi-institutional program evaluations for purposes reflecting statewide rather than institution-specific problems or concerns" (Smith, D.K., 1980, p. 45). "Statewide" concerns arise both at the Commission, where state governmental policy issues are brought to an intersegmental focus, and at the segmental central offices which have geographic statewide responsibilities under the Master Plan Our primary concern in this recommendation is with segmental review of existing programs across campuses. An equally important issue -- even in a study of statewide program review -- is segmental central office requirements for, and interest in, institutional reviews of existing programs.

Community College Procedures

Currently. Community College procedures for review of all occupational programs across all colleges on a four-year cycle differ substantially from those in the two four-year segments. Community College procedures are more comprehensive, involve central office scheduling, and appear to be considered a permanent planning and review activity (See Appendix B). Earlier evaluations of the major element in the procedures -- The Community College Occupational Programs Evaluation System (COPES) -- recommended "Identification of exemplary occupational education programs and practices to assist other colleges" (California Community Colleges, 1976A, p. 11); and see Auvil 1980, in which similar recommenda-

tions appear for federally funded projects). It is contemplated that the results of the four-year cycle reviews will inform segmental planning (Morris, 1980), but it does not appear that segmental central staff keep Commission staff routinely informed of these plans. In contrast to the carefully structured review procedures for occupational programs, it does not appear that the Community College central office plans examination of academic programs across campuses.

Recommended Change. Current procedures for review of occuptional programs should continue, but should be assessed for utility in segmental program planning. The Commission should be advised of the results of these reviews. Because of the apparently shrinking numbers of transfer students and courses in the colleges, the Community College central office should develop procedures for identifying possible issues relating to academic programs and for assessing these on a segmentwide basis.

Procedures of the State University and Colleges

Currently. The State University and Colleges is presently engaged in a two-year study of teacher education to examine the segmental mission in this area, to review campus programs from a segmental perspective, and to make recommendations for improvement (California State University and Colleges, 1980A, p. 80). Similar intrasegmental reviews have been conducted in the past, although with somewhat less frequency than in the University of California. On a continuing, less formal basis, the segmental central office examines the extensive, quantitative data available to it for evidence of possible cross-campus concerns (Lee and Bowen, 1975, pp. 54-55).

Recommended Change. The California State University and Colleges should continue existing procedures, adopt procedures for identifying segmental issues that may require cross-campus review, and notify early the Commission and other segments of prospective studies.

University of California Procedures

Currently. The University of California presently has engineering under study in a cross-campus review of existing programs. In an earlier study intrasegmental review of education, the nine member review committtee included representatives from the independent sector, the State Department of Education, and the State University and Colleges (Cheit, et. al., 1976). Similar intrasegmental reviews have been conducted since about 1974 (see Lee and Bowen, 1975, pp. 52-53). Recently, the University of California central office adopted formal policies for identifying and conducting intrasegmental reviews (Saxon, 1980).

Recommended Change. The University of California should continue existing procedures, and notify early the Commission and other segments of prospective studies. An earlier University study of institutional procedures recommended the development of information for use across campuses to increase the utility of institutional reviews (University of California, 1976, p. 19). We endorse this recommendation. The Commission recommended that the University "undertake more systemwide evaluatons of specific program areas" (California Postsecondary Education Commission, 1978B, p. 24), suggesting that they be as frequent as resources might allow. Such reviews are useful, but their frequency should be determined by the need to decide substantial segmental issues, not by resource availability. The cost in time and disrupted relationships may be greater than the dollar cost of the review.

Institutional Reviews of Existing Programs

Most institutional reviews of existing programs are of two general types:

1. Individual programs or program areas are reviewed intensively by faculty for the purpose of program improvement. In the State University and Colleges, institutions must review a program every five years and the summary results are reported to the central office and the governing board (California State University and Colleges, 1981). In the University of California, campuses set their own schedules for reviews, and programs are reviewed on five to seven year cycles (University of California, 1976; Smith, S.S., 1979). Our most recent information about the Community Colleges is that 33 of them regularly schedule reviews of academic programs and that 50 schedule reviews of occupational ones (California Postsecondary Education Commission, 19788, p. 12).

2. Administrators of an institution give some review annually to all programs, primarily as part of institutional budget procedures. The nature and extent of such review varies widely among the institutions and across the segments (Bowen and Glenny, 1980).

This report relies heavily on state and segmental program planning and review to assure that California's educational needs are met over the next decade. But this reliance will be misplaced unless state and segmental procedures have a firm foundation in effective institutional program planning and review. In our earlier report, we urged annual "honest assessment of program quality, priorities, and staffing" (Bowen and Glenny, 1980, p.61). Such assessments

are critical if state and segmental program plans are to be more than paper exercises. The type of assessments that we urge requires a departure from past practice in that it falls in between the two historical patterns of institutional review of existing programs. It cannot be as protracted, detailed, and comprehensive as faculty reviews intended to improve quality, but it must be more than an annual attempt by administrators to keep the books in balance and to assure that current faculty and staff keep their jobs. Each institution must develop its own unique procedures for solving the basic problem of giving programmatic issues and priorities a dominant position in annual resource allocation processes. The task is difficult, and it is encouraging to have evidence that some are performing it (e.g., Stiff, 1980).

The segments can assure that certain fundamental procedural safeguards are provided where, for example, program termination or consolidation may result from reviews (Saxon, 1979; Dumke, 1979). But they should not -- and thus far, have not -- attempted to impose detailed and uniform procedures on the institutions. In this regard the Community College central office should probably extend its Program Administrative Review activities (California Community Colleges, 1980C) to obtaining assurance that the districts and colleges are adopting appropriate procedures.

RECOMMENDATION 7. THE COMMISSION, IN COOPERATION WITH THE SEGMENTAL CENTRAL OFFICES, SHOULD DEVELOP PROCEDURES FOR IDENTIFYING AND REVIEWING EXISTING PROGRAMS THAT PRESENT MAJOR STATEWIDE AND INTERSEGMENTAL ISSUES.

As the need is perceived, the Commission should continue to examine statewide concerns that are not related to individual academic or occupational programs. It should also develop relatively formal procedures for identifying statewide issues that are program specific and that may require review across segmental boundaries. At a minimum, such procedures should:

- be developed in close cooperation with the segmental central offices;
- define with reasonable specificity the state-level issues that might require a review of existing programs across segments;
- provide a context in which issues within segments might be identified for possible segmental review across campuses.

The Commission should encourage the use of the Intersegmental Program Review Council (IPRC) as a forum for Commission and segmental central staff to share experiences and insights.

Discussion

This recommendation addresses the role of the Commission in the conduct of "multi-institutional program evaluations for purposes of reflecting statewide rather than institution-specific problems or concerns" (Smith, D.K., 1980, p. 45). Recommendation 6 concerns

the segmental role in such evaluations. At the Commission level, statewide concerns appear in at least two forms:

- o nonprogrammatic concerns that arise from statutory or other policy sources, but that do not relate to specific disciplines or instructional programs;

- o programmatic concerns that relate to specific instructional disciplines or programs -- issues of differentiation of function, for example, arising between segments.

The authority to evaluate existing programs is explicit in such areas as manpower supply and demand or adult and continuing education, and implicit in the statutory permission to "undertake such other functions and responsibilities as are compatible with its role as the statewide postsecondary education planning and coordinating agency" (Education Code, Sec. 66903). The same code section requires the Commission to schedule "segmental review of selected educational programs."

Currently. The Commission has undertaken a number of valuable studies across the segments in policy areas which do not relate to specific instructional programs or disciplines -- e.g., tuition, college-going rates, off-campus instruction, etc. (California Postsecondary Education Commission, 1978A; 1980B; 1980F). It has not, however, as yet, reviewed disciplinary areas or specific programs, as, for example, did the Commission's predecessor in a study of engineering (Terman, 1968).

In its first Five-Year Plan, the Commission found that because "of apparent imbalances in supply and demand in the employment market, or because of significant changes in professional requirements or program developments," the fields of teacher education

and the health professions should be studied on an intersegmental basis (California Postsecondary Education Commission, 1975, p. 63). A study of the health professions was in process at that time under a legislative mandate. The study of teacher education was delayed because of other Commission priorities, did not reach the prospectus stage until late 1978 (California Postsecondary Education Commission, 1978D), and was not undertaken in the aftermath of Proposition 13.

The Commission was probably correct in 1975 in perceiving the need for an intersegmental teacher education study. Although an intersegmental study was not undertaken, the University of California completed its segmentwide review of education a year later (Cheit, et. al., 1976), and the California State University and Colleges is currently engaged in such a review.

In 1980, Commission staff initiated discussion in the Intersegmental Program Review Council (IPRC) aimed at determining appropriate instructional areas and procedures for intersegmental reviews, but the discussions do not appear to be progressing with much urgency.

Recommended Change. The Commission should continue examinations of nonprogrammatic state concerns as the need arises. Commission staff should also continue efforts to develop criteria for identifying instructional areas which could raise state or intersegmental issues for possible review across segments. This activity should proceed expeditiously. Both the University of California and the California State University and Colleges have recently adopted policies for consolidation, termination, or other program modifications that may have implications for the distribution of programs across segments. It is not beyond speculation that

unilateral action by one segment under such procedures might elevate program distribution issues to the Commission for resolution.

This is a recommendation for establishing procedures, not for specific reviews at any particular frequency. Reviews of programs across institutions, whether by the segmental central offices or by the Commission, should be seen as derived from, and supportive of, state and segmental program planning. What is reviewed and when it is reviewed are questions that can only be answered when program planning considerations surface.

We are particularly concerned that this recommendation not be interpreted as suggesting that either the Commission or (under Recommendation 6, above) segmental central offices undertake routine, frequent, or comprehensive examination of disciplinary areas comparable to the earlier study of engineering (Terman, 1968). Such broad ranging studies may be required, but they should not be initiated without careful consideration of both direct costs and the time, patience, and morale of institutional faculty and administrators. We deplore -- in the absence of program plans -- institutional justification of overstaffed programs as ones that "every college (or university) must have" (Bowen and Glenny, 1980, p. 13). At state and segmental levels, intersegmental or interinstitutional reviews undertaken simply because "these are what every coordinating agency or multicampus system should do" would be equally deplorable.

Relevant to the need for greater dispatch in developing review procedures, we also urge that the Commission take greater advantage than in the past of the experience and abilities of the members of the Intersegmental Program Review Council (IPRC). These representatives have a wealth of planning and program review experience that probably cannot be duplicated in any other

state; yet our impression is that IPRC meetings are characterized by irregular attendance, desultory discussion, and lack of direction. There are numerous issues and questions relevant to statewide program planning and review that would find an appropriate forum in IPRC, even though they may not be identified with an immediate program review issue. For example:

- Similarities and differences in segmental procedures might be described and discussed. We are constantly astonished at the number of administrators who travel across the country to learn what is done by institutions in other states but remain uninformed about those in their own.

- What are the program review implications of remedial education? How can efforts of the Department of Education be coordinated with those of the public segments? Who, if anyone, knows the number and location of remedial education programs in California? What are the responsibilities, if any, of each public segment for remedial education?

- Is competition for students increasing between the public and the independent sectors? If so, what are the program review implications of such competition?

- What is or should be the role of accreditation in program review? What has been the experience with segmental observers on two-year accreditation visits? What interest, if any, do the four-year segments have in a proposed major study of accreditation and two year college planning (Swenson, 1980)? What has been the experience of the State University and Colleges' San Bernardino campus in the use of accreditation teams as outside reviewers in periodic review of existing programs?

- What criteria differentiate the functions of similarly titled programs across segments? How is a certificate program in a community college distinguished from one with the same name offered by University of California extension? Or "identical" professional master's degrees across the two four-year segments?

The potential for IPRC's becoming a major asset to the Commission and to its members is great. Only more effort would be required.

RECOMMENDATION 8. IN COOPERATION WITH THE COMMISSION, EACH SEGMENT SHOULD DEVELOP PROCEDURES FOR, AND CONDUCT, ANNUAL REVIEWS OF A SMALL NUMBER OF PROGRAMS NEWLY ESTABLISHED WITHIN THE PRIOR THREE TO FIVE YEARS.

The segmental central offices are responsible for implementation of their own and institutional program plans, and should develop procedures for assuring themselves and others that their responsibilities are being met. Annual institutional and segmental planning processes that relate existing and projected programs to institutional and segmental missions and objectives should provide major assurance. More direct and specific assurance should be provided by segmental processes for examining a limited number of recently established programs. The following considerations are applicable to the development of such processes:

- o A small number of newly established programs should be reviewed.
- o Processes should be developed in close cooperation with the Commission.
- o Two or three programs, at least, should be randomly selected for review.
- o Processes should be consistent with and (if possible), reinforce ongoing institutional programs review.

Reviews of newly established programs should be based on original projections and proposals, on original planning assumptions, on relevant changed conditions, and on such additional quantitative and qualitative information as the Commission and the segmental central offices may determine.

Discussion

This recommendation for review of newly established programs is for a necessary bridge between state and segmental program plans and institutional program operations. Internal, institutional reviews of existing programs may or may not tie their findings to state and segmental planning issues; their narrow but important aim is to accept a program as it is found and to propose improvement. State or segmental reviews of existing programs across institutions are major enterprises that only by accident will reach a newly established program. Institutions should be accountable for the implementation of their plans, and the segments for implementation of theirs. Such accountability requires information that present procedures do not provide.

Currently. Neither the Commission nor the segmental central offices now examine the success of newly established programs. It is assumed that new programs are established as proposed -- to become regular parts of curricula. In the normal course of events, in the four-year institutions, at least, newly established programs are subject to internal review within about five to seven years under procedures for routine, periodic reviews of all existing programs. But review findings are available to Commission and segmental central staff only in highly summarized form.

Apparent lack of concern about newly established programs may be partly justified by current requirements for Commission and segmental review of all detailed proposals for new programs. The effort expended in preparing such proposals may assure establishment as proposed. Nevertheless, committment to an original proposal is little guarantee that projected enrollments will be realized, that anticipated funding will be available, or that

the program can adapt to other significant changes that might require deviation from, or modification of the original planning assumptions.

Recommended Change. This recommendation for post hoc review of newly established programs is an accountability measure to assure both Commission and segmental central offices that their own program planning processes and those of the institutions are more than bureaucratic busy work. We do not see these reviews as "audit" devices to detect possible misrepresentation in original proposals or projections; neither our experience nor the interviews even hinted at misrepresentation. The problem addressed is the risk inherent in all new ventures -- getting new programs underway is not an exception to the rule that nothing ever really turns out as planned. But with fundamental responsibilities for planning and the implementation of plans, the Commission and the segmental central offices should know how and why reality deviates from plans. This knowledge is particularly important because newly established programs are at the leading edge of educational change.

The procedures developed by each segment should mesh with that particular segment's unique program planning and review processes. There is little logic in attempting to prescribe a uniform procedure for all three, but four considerations seem applicable to all:

1. Only a small number of newly established programs need be reviewed, in our opinion. The usefulness of surveying all such programs would be far less than the cost.

2. Criteria for selecting newly established programs for review will emerge as the segmental central offices begin developing

procedures in cooperation with Commission staff, but the following should be borne in mind:

- o At least two or three programs should be selected at random to keep institutions alert to Commission and segmental central office interest in the implementation of institutional program plans.

- o Other programs may be reviewed as they relate to current planning issues -- e.g., to projections of similar programs on other campuses, to enrollment trends in the subject matter area, etc.

- o The programs from which selection is made should be those for which either a program projection or a detailed program proposal has been subject to comment by the Commission.

- o The criteria for selection should be widely understood at all institutions before the first reviews are undertaken.

3. In developing review procedures, segmental central offices should be responsive to Commission suggestions for criteria for selection of programs. They should be responsive also to the Commission's needs for information -- quantitative and qualitative -- relevant to state program planning.

4 Commission staff should probably not be asked to participate directly in the conduct of reviews. They should, however, be closely connected to the reporting and the analysis of the results.

Our present expectation of reviews of newly established programs is that they should resemble current, internal, institutional reviews for the improvement of program quality, but ask supplementary questions based on (1) original program planning assumptions and projections and (2) changes in relevant institutional and social conditions after the program was established.

Our conception of the form such reviews might take is not as strong as our conviction that some review is required. Alternative procedures might include questionnaires, for example, or a brief visit and report by an informed segmental central staff member. Nor is the recommendation for reviews on an annual basis one that should be engraved on stone; experience may show that annual reviews are too frequent. But neither the Commission nor the segmental central offices now know how new programs are implemented or what impact they have on institutional plans once they are in operation. This information is vital to effective state and segmental program planning and to accountability for educational objectives.

RECOMMENDATION 9. THE LEGISLATURE SHOULD ELIMINATE THE DIRECT RELATIONSHIP BETWEEN PRIOR COMMUNITY COLLEGE CENTRAL OFFICE APPROVAL OF DETAILED COURSE AND PROGRAM PROPOSALS AND STATE FUNDING.

The Community College central office should assume educational policy leadership of the districts and colleges at the state level. It should have at least as much discretion in shaping segmental program planning and review as the University of California and the California State University and Colleges. We recommend:

- Program-by-program, course-by-course, prior segmental central office approval of all courses and programs be eliminated as a condition of state funding.

- Administration of the details of state funding procedures be separated from program planning and program review responsibilities.

- If financial sanctions are required to enforce legislative or segmental educational policies, these sanctions not be measured directly by the number of students in courses or programs found to violate such policies.

Discussion

The Community College central office should have a major role in state fiscal and educational policy for the districts and colleges. Performance of this role is inhibited by the current one-to-one relationship between state funding and detailed pre-audit of district and college offerings on a course-by-course, program-by-program basis.

In both of the four-year segments, procedures for review of new programs reflect internal academic program planning and resource allocation considerations, and procedures would probably not change in the absence of legislative mandates or Commission requests based on such mandates. But Community College program review procedure is a creature of legislative mandates. The question is not whether legislative mandates are "good" or "bad." Rather, it is whether enforcement of them by segmental central office pre-audit procedures is consistent with accountability for educational objectives through state and segmental program planning. We do not believe that it is.

Currently. The law provides that state funds shall not "be apportioned to any community college district on account of the attendance of students enrolled in community college credit programs or noncredit courses unless the courses have been approved by the board of governors" (Education Code, Sec. 78412).

The relationship between state funding and the approval process is direct. Funds flow to the colleges based on the average daily attendance (ADA) for students in courses. If the courses have been approved, funding is allowed. If programs are operating without approval then the sanction of reimbursement of state funds is imposed. The Community College central office approves courses individually or as part of credit programs. Local governing boards may add or modify courses in existing programs where additions or modifications are consistent with the objectives of a program previously approved by the central office.

Different procedures have developed in the segmental central office for the approval of credit programs and courses and noncredit and certain other types of courses (See Appendix B). Credit programs and credit courses that are not part of programs

are reviewed and evaluated, and approved programs are forwarded to the Commission for comment. Course approvals do not go to the Commission. If due allowance is made for differences in size, mission, and concern with courses, this "approval" process is comparable to program review in the University of California and the California State University and Colleges. Technical and personnel factors that reportedly caused protracted delays in the past appear to have been largely overcome. Under these procedures, 58 new credit programs and 71 new credit courses were approved during 1979 (California Community Colleges, 1980B, p. 6).

The approval process for noncredit courses differs in that it requires substantially less exercise of independent judgment and discretion by segmental central staff. The process is essentially one of reviewing a data collection form and entering data into a computerized information system. The four-year segments do not have comparable review procedures. In 1978-79, 1,833 noncredit courses were approved through this process -- all subject to ADA funding (California Community Colleges, 1980A, p. 4).

The "approval" processes of the Community College central office should not be characterized as "rubber stamp" operations. They are not. They are the basis for "accountability" in the most strict and narrow sense of the term. If individual colleges operate programs or courses that have not been "approved," and if a Department of Finance audit of ADA catches them, substantial financial penalties can be imposed. But this narrow purpose has driven out the possibility of accountability in the broader sense of evaluation for purposes of reaching and resolving state and segmental educational issues. Current procedures cannot address major concerns raised by the changing role of the two year colleges, particularly in an era of sustained fiscal and enrollment stress. For example:

- Most of today's community colleges students take courses, we are told, not programs that lead to certificates or degrees. They are more interested in specific vocational, avocational, or academic subjects than in credentials. Courses may require greater attention than programs in the future -- perhaps they may at present. The current course inventory information base and the developing course classification system (California Community Colleges, 1979-80) are valuable and necessary first steps, but only first steps, toward educational accountability.

- The two four-year segments have accepted the idea that some expensive, low enrollment programs must be restricted to specific campuses. In the community colleges, however, the belief still seems to be that every student should be within commuting distance of any desired course. Although a rationale for distribution of high cost programs was developed (Brossman, 1976), it does not appear to have been used for review purposes or made current (California Postsecondary Education Commission, 1980A, p. 16).

- Many statewide issues (e.g., articulation with the four-year segments; remedial education, etc.) cannot be raised by current, fragmented review and "approval" processes, even to the extent that absence of state or segmental program plans might allow. Here again, more sophisticated course classification would be a step forward.

The Community College central office faces, as we have detailed elsewhere, greater difficulties than the two four-year segments in developing effective program planning processes. But at present, academic planning at the segmental level in the Community

Colleges is virtually nonexistent, and it is unlikely to improve as long as staff activities and objectives are dominated by the enforcement of legislative mandates through pre-audit review of every program and course.

Recommended Change. This recommendation is for elimination of what we perceive to be one of the major procedural barriers to effective program planning in the Community Colleges. Our venture into the thicket of Community College finance has taken us only so far, however. It has not enabled us to prescribe much more than the elimination of the mandated pre-audit barrier.

We do not predict how current review procedures would change if the legislative mandate relating them to funding were removed. Program reviews that are presently comparable to those in the four-year segments might be expected to continue, but perhaps be reduced in number by limiting attention to college projections and selected proposals (See Recommendation 4). Course reviews on an individual basis should probably be eliminated (Harcleroad, 1975, p. 20). Courses are important, but post-hoc review of information derived from the computerized information system and ordered by emerging course classifications would be more discriminating than current course-by-course reviews.

A major question that arose in the interviews centered on the extent to which individual districts and colleges would be responsibile for their educational missions in the absence of financial sanctions directly dependent on pre-audit program approval. Will the colleges "run wild," as one staff member suggested? We do not think so. Overly zealous entrepreneurship is unlikely to result in any substantial misuse of funds. Not many funds will be available for misuse: The segmental central office, at

least, is clearly aware that the state will limit "its maximum annual commitment to" their operation (California Community Colleges, 1979-80, Part II, p. 30). Additional students will no longer be an automatic guarantee of additional funds, and college needs for support of ongoing programs and activities will discourage waste. Admitting that consensus is lacking on appropriate community college offerings, every course is responsive to some local constituency.

We have sufficient respect for the opinions of those more experienced than ourselves to avoid flatly recommending the abolition of financial sanctions for violation of leglislative mandates. But we also have sufficient respect for the good intent and professional integrity of community college faculty and senior administrators to know that financial sanctions have had little to do with building and maintaining institutional and educational quality in California. Moreover, we do not look negatively on the function of the Department of Finance in checking and confirming sometimes complex attendance computations. We do suggest that fiscal auditing functions should be separated, conceptually and organizationally, from program planning and review.

## III. A REPRISE: QUALITY AND ACCOUNTABILITY

This report has focused on Commission and segmental staff review of new and existing programs. We have attempted to evaluate review structures and processes in terms of both what these were originally intended to accomplish and what we expect will be required of them over the next, difficult decade. We have tried to avoid criticism of segmental eccentricities that are part and parcel of desirable diversity of mission, management style, and size.

We have found that those directly responsible for program review are doing, for the most part, as good a job as possible, but that their work seemed irrelevant to major statewide issues and without impact beyond the particular program under consideration at a particular time. What we found lacking were operational state and segmental program plans from which issues could be derived and criteria determined. Always desirable, such plans are essential in the face of possible program terminations and consolidations. We must "attempt to assess the future and to begin to make decisions for dealing with it" (Callan, 1975, p. 24).

The bottom line of program review is the planned distribution of programs among institutions, but distribution is currently approached on an ad hoc, program-by-program basis. These fragmented efforts are not entirely wasted, of course, but identifying and resolving intersegmental and statewide issues in the absence of operational program plans is not easy. Even with an enormous amount of paper shuffling -- perhaps because of it -- issues may be overlooked. Whether they have or not, it is certain that the bulk of the papers shuffled were prepared through the costly efforts of institutional faculty and administrators.

Under the best of circumstances, the preparation of a detailed proposal for a new program requires extensive time and effort that is only poorly evidenced by documentation. Meeting state and segmental requirements for justification and information is onerous and inhibits risk. The burden should be lightened and risk of new ventures encouraged by early testing of summary projections in plans against both institutional missions and operational segmental program plans. Faculty energy should be reserved for their primary interests and obligation: the maintenance and improvement of program quality.

Our recommendations contemplate less paperwork at the institutional level, but they also require greater accountability for educational objectives at all levels, state, segmental, campus, and district or college.

1. Institutional mission statements to guide program development advise segmental central offices and the Commission of the precise, programmatic expectations of institutional faculty and administrators (Recommendation 2).

2. Through institutional program plans, new programs are projected from two to five years in advance of establishment, and, at that time, justified under institutional missions (Recommendations 4 and 5).

3. In segmental program plans, the institutional projections are consolidated and analyzed in terms of statewide and segmental concerns (Recommendation 1).

4. The Commission integrates segmental program plans to assure consistency with state-level objectives and concerns (Recommendation 3).

5. At each level, institutional, segmental, and state program plans are the context for reviews of existing programs, both periodic, internal reviews and Commission or segmental ones across institutions (Recommendations 6 and 7).

6. Reviews of newly established programs assure institutional compliance with program plans and test planning assumptions under current operating conditions (Recommendation 8).

7. Segmental, district, and college program planning is encouraged in the Community Colleges by eliminating the current, direct "approval"/ADA relationship (Recommendation 9).

We see at least two difficulties in our almost total reliance on state and segmental program planning. First, although plans and planners are moving into the mainstream of governance and coordination, they do so at a time when resource allocation is an even higher administrative priority than in the past. Theory subordinates budgeting to planning and program review, but the urgency of many fiscal decisions makes subordination difficult in practice.

Second, successful, operational state and segmental program plans require clearly defined institutional missions, and, equally important, rely on internal, institutional planning and program review processes that rigorously and honestly address curricular change in relation to these missions and to staffing patterns (Bowen and Glenny, 1980). Clarification of institutional missions is an unavoidable responsibility of segmental central offices. At each institution, faculty leaders and senior administrators must develop the necessary planning and program review procedures.

Hard decisions are required to maintain and improve educational quality in the next decade, but hard decisions are not likely in the absence of a procedural context designed for that purpose. The context must be sufficiently flexible to encourage prompt and informed institutional response, for quality can only be achieved at the campuses. At the same time, collective campus responses must be measured against state and segmental concerns that cross institutional boundaries.

The sum of clear institutional missions and processes is the foundation on which state and segmental planning must rest. It is not yet fully in place. Institutional faculty and senior administrators must start giving first priority to academic and occupational programs, to who staffs them, and to their future -- not to organizational survival and job security. State and segmental administrators -- and state executive and legislative officers and staff as well -- must realize that "accountability" in higher education involves more than numbers. If quality is to be maintained, educational accountability must be founded on qualitative judgments and expectations at campuses and colleges, and made explicit in state and segmental program plans.

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# APPENDICES

# APPENDIX A

## PROGRAM REVIEW IN THE CALIFORNIA POSTSECONDARY EDUCATION COMMISSION

The policies under which the California Postsecondary Education Commission (CPEC) reviews programs are found in the 1974 legislation under which CPEC replaced the former coordinating agency. Three legislative requirements are particularly relevant (Educ. Code, Sec. 22712):

1) CPEC shall prepare five-year state plans "which shall integrate the planning efforts of the public segments," and "shall require the governing boards of the segments" to develop and submit long-range plans.

2) CPEC shall "review proposals by the public segments for new programs and make recommendations regarding such proposals to the Legislature and the Governor."

3) CPEC shall, "in consultation with the public segments, establish a schedule for segmental review of selected educational programs, evaluate the program review processes of the segments, and report its findings and recommendations to the Governor and Legislature."

Current CPEC planning and review procedures are set out in "The Commission's Role in the Review of Academic and Occupational Plans and Program's adopted by the Commission in 1975 after consultation with the segments.

The 1975 guidelines established the Intersegmental Program Review Council (IRPC), consisting of representatives from the three public

segments, the Association of Independent California Colleges and Universities (AICCU), The California Advisory Council on Vocational Education and Technical Training, The Council for Private Post-secondary Education, The Department of Education, and CPEC staff. Under the guidelines, IPRC was to advise CPEC staff on all matters relating to program planning and review. In practice, IPRC meets two or three times a year, attendance is generally limited to representatives of the three public segments (and perhaps of AICCU), and the primary topics of advice have been CPEC staff's annual summaries of segmental program review activity.

Major staff responsibility for program review in CPEC is with the Associate Director, Academic Affairs, and direct responsibility is with the head of the Coordination and Review Section. The head of the section and two other professional staff members review new program proposals. Approximately one-half the time of these three staff members is spent on program review -- approximately six percent of total administrative activity of CPEC professional staff. In addition to their program review responsibilities, the three staff members participate in special studies, planning, and related CPEC activities.

CPEC activity in this area falls into three relatively discrete catagories: (1) new program review (2) evaluation of segmental procedures; and (3) review of existing programs.

New Program Review

Under the 1975 guidelines, the review of new programs begins with CPEC review of five-year, segmental program projections. As

originally contemplated, CPEC staff would examine each new program projected, concentrating on (1) the number and regional distribution of existing programs, (2) enrollment trends, (3) job market considerations, and (4) probable costs. Problem areas would be identified -- e.g., possible duplication -- and these problem areas would be taken to IPRC for discussion and resolution. In consultation with IPRC, CPEC staff would also identify specific programs in the five-year projections that were believed to require further consideration by the institutions and segments before formal proposals were submitted. CPEC staff would also identify programs -- including, but not necessarily limited to the first group -- that would be subject to "intensive review" by CPEC. Although CPEC reserved the right to review any new program proposal, it was contemplated that only information copies of a proposal would be required for a program that had appeared on a segmental master plan for two years prior to its intended establishment and that was not initially identified for intensive review. CPEC's first five-year plan in late 1975 listed twelve program areas for which "additional justification" would be required. A far greater number of specific programs were identified in a 1978 report in which they were classified according to the reasons for more intensive review.

The identification of specific, projected programs for intensive review under the 1975 procedures has not operated as planned, in part because of the disruption of segmental planning following the adoption of Proposition 13. The current implications of the attempt to identify specific programs for review differ among the three segments:

For CPEC review of Community College proposals, early identification has had little, if any, impact. Projections from individual colleges

have been forwarded to CPEC without regard to schedule and without analysis by the segmental central office. The problems of large numbers of projected programs was compounded by apparent unreliability of the projections -- e.g., some programs already in operation were shown as projected. During the past two years, CPEC staff has not reviewed projected programs of the Community Colleges because revised lists of projected programs were not provided. Individual program proposals do indicate whether the program had been projected in college plans.

For CPEC review of State University proposals, early identification has resulted in greater segmental attention to programs earlier designated for intensive review by CPEC. In 1978-79, the State University suspended five-year program projections in the face of uncertain funding, but resumed projections in 1981.

For CPEC review of University proposals, the early identification procedures appear to have resulted in more intensive review of designated graduate programs by both CPEC and segmental staff.

Under the early identification procedures and as a matter of policy as these were suspended, CPEC has generally reviewed University and State University proposals for new undergraduate programs in detail only when initial, informal discussions indicated that they might fall outside customary liberal arts offerings.

CPEC staff propose reinstating early review of projected programs in segmental plans as conditions permit. Currently, however, the major activity of CPEC staff is in review of new program proposals as these are received from the segments.

Although each of the three professionals involved is primarily responsible for all proposals from a particular segment, the review of new programs is a collaborative process. The proposals that CPEC reviews follow guidelines issued in 1975 that prescribe both the information required in proposals and the principles under which CPEC staff review them.

The six "principles" or criteria which CPEC staff use in reviewing new program proposals are: (1) student demand; (2) societal needs -- i.e., educational values other than those based on labor market estimates; (3) employment prospects; (4) existing and proposed programs in the field; (5) program costs; and (6) maintenance and improvement of quality.

Using the six principles, a CPEC staff member prepares a written analysis of the proposal that is reviewed by the head of the Coordination and Review section. If further information is not needed, the head of the section will recommend either concurrence, concurrence with conditions, or nonconcurrence. Commission staff may take on of the following positions: (1) Request additional information; (2) concur with the proposal; (3) not concur with the proposal, (4) concur but with conditions. In the case of a proposal which the staff finds controversial, the Director and Associate Director, Academic Affairs, participate in the review.

Virtually all differences between CPEC staff and segmental staff are resolved at staff level. If agreement cannot be reached at the staff level, the guidelines provide that either Commission or segmental staff may bring the issue to the full Commission. In rare instances, segments have so appealed a nonconcurrence comment (e.g., a classics program at a University campus).

The law requires that CPEC act on proposals for new programs within 60 days of their receipt. This time is extended by agreement if additional information or clarification is required CPEC staff try to complete their review within 30 days.

Since 1976, CPEC has been developing a computerized information system that provides comparative data on enrollments and degrees, generally according to the HEGIS taxonomy of disciplines for the three public segments and the independent sector. CPEC staff routinely use information from this data base and from its annual Guide to California Colleges and Universities, which lists all program offerings by campus.

Evaluation of Segmental Program Review Procedures

In 1976, after consultation with segmental staff, CPEC undertook a survey of institutional program review procedures, inquiring about both the nature of procedures generally and all reviews conducted of existing programs during the particular year. The responses to the questionnaire survey were found to be of little use because of lack of comparability, and the results were not published. In addition to the comparability problem, only about one-half of the community colleges responded to the survey.

Since the 1976 survey, CPEC has not formally evaluated segmental procedures, but has commented on these in the annual staff reports on segmental program review activity. For example, in the 1978 report, CPEC staff suggested that the Chancellor's Office of the Community Colleges develop guidelines for college review of existing programs, that the University's Systemwide Administration undertake more systemwide evaluations of specific program areas, and that the procedures in the State University give greater emphasis to the possible termination of programs as a consequence of campus review.

In 1980, independent contractors were commissioned by CPEC to evaluate segmental procedures as well as those of CPEC itself.

Review of Existing Programs

The legal requirement that CPEC "establish a schedule for segmental review of selected educational programs" has been interpreted to authorize CPEC staff coordination of such reviews. The commission's first five-year plan indicated that CPEC staff would undertake a "comprehensive segmental review" of teacher education programs. Lack of staff initially delayed the proposed review. In 1978, a prospectus was prepared, but priorities associated with response to Proposition 13 then intervened. As a result, CPEC has not yet undertaken an intersegmental review. Currently, CPEC staff have initiated discussions through IPRC to determine areas of statewide and intersegmental concern in which coordinated intersegmental program reviews would be considered appropriate.

# APPENDIX B

## PROGRAM REVIEW IN THE CALIFORNIA COMMUNITY COLLEGES

The Board of Governors of the California Community Colleges is a coordinating agency rather than a governing board. It prepares five-year plans, but policies and procedures for program review have developed in response to state and federal legislative requirements rather than the planning process. Three such requirements predominate:

1) State law conditions state support of programs and courses on their approval by the Chancellor's Office.

2) State law requires that all new programs be reviewed by CPEC, the state higher education agency.

3) Federal law conditions federal support of certain occupational programs on evaluation of these programs.

Responsibility for program review in the board's central office, the Chancellor's Office, is one of several major responsibilities of the Executive Vice Chancellor. Direct responsibility for review is with the Administrator, Program Evaluation and Approval, whose office (Program Review) consists of approximately ten professional staff members. It is estimated that some 17 percent of total administrative activity in the Chancellor's Office is in four types of program review activity: (1) new program and course approval; (2) non-credit course approval; (3) independent study course approval; and (4) approved course inventory file and the inventory of approved programs. Program Evaluation staff, in addition to performing these relatively discrete functions, serve as program specialists to

assist colleges and are responsible for evaluation and monitoring systems for -- primarily -- occupational programs.

Although currently under revision, Program and Course Approval Procedures in California Community Colleges (April 1977) is substantially accurate in describing current Chancellor's Office program review activity and requirements.

New Program Review -- Credit Programs and Courses

The bulk of program review activity in the Program Evaluation office involves district proposals for (1) new programs for credit and (2) new courses for credit when these courses are not part of existing programs. Colleges submit "academic master plans" annually to the Chancellor's Office that project program offerings for the next five years. These projections are transmitted to CPEC by the Program Evaluation office.

Currently, it does not appear that college program projections receive significant analysis either by Program Evaluation or by CPEC. As a result of an extensive study of long-term financial issues, however, the Board of Governors is exploring new procedures that would emphasize analysis of projected programs and reduce or eliminate current reliance on course-by-course and program-by-program approval.

Colleges use local procedures for developing new proposals which they submit on an application form prescribed by the Program Evaluation office. The form is detailed and requires all information that CPEC requests for review as well as information relating to interests of the Chancellor's Office. In the Program Evaluation office, the staff member responsible for new program and course approval initially determines if the proposal is complete, and then distributes it for three types of analyses:

1) A disciplinary specialist reviews the proposal from the curricular perspective, prepares a summary -- usually very brief -- of the proposal, and recommends approval or disapproval. The Program Evaluation office has specialists in such areas as natural sciences, agriculture, business education, etc. Staff members usually are specialists in more than one area.

2) A manpower specialist reviews the job market analysis in the proposal, and if necessary, updates the justification or acquires additional information from the college.

3) A facilities planning specialist reviews the proposal from the point of view of the impact of the proposed program on the colleges physical facilities.

The staff member responsible for approval again reviews the proposal and the analyses of the specialists, and recommends either approval or disapproval to the head of Program Evaluation. If the latter approves, the complete proposal and the Program Evaluation analyses are forwarded to CPEC for review and comment.

Program Evaluation staff attempt to have proposals processed within the Chancellor's Office and through CPEC within 90 days, assuming that additional consultation with the colleges is not required. In general about one-fourth of all programs proposals and one-third of all course proposals require such consultation. In 1978, Program Evaluation approved 63 programs and 252 courses. In 1979, 58 programs and 71 courses were approved. The number of disapprovals or withdrawals is not known.

Approval of courses for credit generally parallels approval of programs for credit, with the exception that courses are not transmitted to CPEC for review and comment. Criteria for review of courses includes examining the relevance of the proposed course to related, existing programs, and in some cases, Program Evaluation staff recommend to the college that the course be included within an approved, existing program.

Quantitative information on state and regional manpower needs is routinely used in Program Evaluation staff review of credit programs and courses. Quantitative information relating to instruction (e.g., enrollment projections, student/faculty ratios, etc.) is locally developed for the proposals by the colleges. The program Evaluation Office rarely compares quantitative data relating to instruction (e.g., student/faculty ratios; productivity data, etc.) for one college with that for other colleges in reviewing proposals for new programs and courses.

Implementation of new programs and courses is monitored as part of Program Administrative Review. Once a program is approved, the local governing board has authority to modify courses within the program. The Program Evaluation office uses identical forms for the approval of two distinct types of instruction:

1) Noncredit courses are (a) those offered as part of the community services function of a college, and (b) those for education of adults. In 1978, approximately two-thirds of the noncredit courses were eligible for state support -- i.e., 4,142 courses out of a total of 6,270. Funding was allowed for all noncredit courses for 1979-80 and 1980-81.

2) Independent study courses are approved under legislation permitting state funding for courses of instruction even though an accredited instructor is not present -- e.g., a learning laboratory; a self-paced, computerized program; TV course, etc.

Noncredit and independent study courses are submitted for approval on a single page "course reporting and data collection" form prescribed by the Chancellor's Office. The form requires, of course, distinction between noncredit and independent study courses, and completion requires following some 28 pages of detailed instructions. The completed form allows computer compilation of a substantial amount of information about the course -- e.g., nature of justification of program need; course objectives, etc.

One specialist in the Program Evaluation office has primary responsibility for reviewing each new noncredit and independent study course proposal for completeness and internal consistency. After consulting with the college, if this is required, the responsible staff member has the course entered into the information system. Entry in the information system constitutes approval that continues until the college notifies Program Evaluation that the course is no longer offered or until routine data collection in the course activities measure indicates that it has not been offered for three consecutive years.

Review of Existing Programs

State law requires that the Chancellor's Office monitor credit programs on a periodic basis and that program approval be withdrawn if it is found that a program should no longer be offered. Withdrawal of approval would disallow state funding for the program. The Chancellor's Office has not yet developed specific procedures for

such monitoring but does engage in five somewhat related monitoring or evaulation activities of which PAR is considered relevant to the state mandate:

1) The Community College Occupational Programs Evaulation System (COPES) is the result of about ten years' study and voluntary use by some colleges. Essentially, it requires a college to undertake a broadly based self-study which is then reviewed by a visiting team of outside experts from other colleges who have been trained for this purpose. In 1979-80, the Chancellor's Office initiated a four-year project under which all colleges and all occupational programs will be evaluated under COPES procedures -- one fourth of the colleges and one fourth of the programs each year.

2) The student Accountability Model (SAM) provides information required for compliance with federal vocational education regulations with respect to employer evaluation of occupational programs. SAM is part of the four-year project.

3) A longitudinal study of both occupational and nonoccupational programs was started in 1978 for 15 colleges. The study is jointly sponsored by the Chancellor's Office and the State Advisory Commission on Vocational Education. For the colleges concerned, this longitudinal study is also part of the four-year project.

4) Program Administrative Review (PAR) is a program initiated by the Chancellor's Office to assist colleges to comply with the wide variety of state rules and regulations to which they are subject. The intent of the review is not the imposition of sanctions but advice and assistance. PAR is a continuing procedure.

5) The Course Activities Measure is an information system under which the Chancellor's Office collects detailed information on courses and enrollments twice yearly. Because of the difficulty of obtaining a 100 percent return, this information is not used for its originally intended purpose as a basis for apportionment of state funds. After processing, information is returned to the colleges where it may be used for internal evaluation-- e.g., relative course productivity -- and as a check against adverse audits of apportioned funds.

Review of existing programs in the Chancellor's Office focuses on occupational rather than nonoccupational programs because of federal requirements for evaluation and the availability of federal funds to support evaluation activity. Current COPES activity represents a reduction in scope from plans of the early 1970s, but the inclusion of COPES, SAM, and PAR in a four-year project involving all colleges is considered a new and important integration of evaluation activity by the Program Evaluation office. The Chancellor's Office does not currently plan extending this evaluation activity to academic programs.

# APPENDIX C

## PROGRAM REVIEW IN THE CALIFORNIA STATE UNVERSITY AND COLLEGES

Policies and procedures for program review in the California State University and Colleges are set out in annually updated, five-year planning documents. Historically, each such document has contained campus "Academic Master Plan" projections of new programs for the succeeding five years. The current document, Academic Program and Resource Planning in the California State University and Colleges, July 1980, projects programs for 1980-81 only, rather than for the next five years, because of the uncertainty of longer term funding in the aftermath of Proposition 13. Five-year projections will be resumed in the next annual plan in 1981.

Overall responsibility for program review within the Chancellor's Office is with the Vice Chancellor, Academic Affairs, and direct responsibility is with the Assistant Vice Chancellor, who heads the office of Educational Programs and Resources (EP&R). The EP&R office consists of some ten professionals who are organized into three closely related sections: Planning, Programs, and Resources. Approximately four percent of all Chancellor's Office man years and 45 percent of the activity in EP&R is related to new program review, existing program review, or activities such as master planning and curricular studies in support of review activity.

Extensive quantitative information is compiled in the Academic Planning Date Base by EP&R staff. This information system is currently being modified to permit direct campus use for course scheduling and other local purposes. From this base, quantitative, comparative information relating to program enrollments, student/faculty ratios, class size, and degrees is annually distributed to

the campuses for use in local reviews of both new and existing programs.

Review of New Programs

Governing board policies for review of new programs were established in 1963, and have remained relatively unchanged. In 1973, the Chancellor delegated approval of specified program options and concentrations to the campus presidents. In 1979-80, a newly established Academic Planning and Program Review Committee, chaired by the Vice Chancellor, Academic Affairs, held its first meetings. Consisting of faculty, campus and system administrators, and students, the Committee is said to have influenced the lifting of a new program moritorium imposed following Proposition 13. The Committee has also consulted on the revised requests for campus plans issued in 1980.

New program review begins with the projection of proposed programs by the campuses in their annual five-year "Academic Master Plans." These projections are reviewed by EP&R staff, and their recommendations may be the bases for discussions with the campuses. The major purposes of review of projected programs are: (1) access through planned program distribution; (2) avoidance of unnecessary duplication; (3) determination of need for the program; and (4) preliminary determination of resource adequacy.

Greater attention than in the past is now given to campus master plan projections under a new requirement that projected programs be specifically related to an explicit campus mission and supported by planning assumptions. Emphasis in the EP&R office may shift in the future from detailed review of individual programs already in campus plans to closer examination of projected programs prior to inclusion in those plans.

Governing board approval of new program projections in campus master plans authorizes the campuses to plan for the program and is required before a detailed proposal for implementation can be submitted. The governing board has delegated authority for subsequent approval of detailed proposals to the Chancellor. The Chancellor's Office does not specify the procedures by which new program proposals are developed, but does, of course,, specify the content of these proposals. The proposals for new programs are reviewed throughout the year by EP&R staff through a Program Review Committee of six analysts, each of whom prepares a written review -- usually a single page -- of each proposal A resource analysis is prepared by the Resources section of EP&R, and, when appropriate, specialists in information systems and in health sciences sit with the committee. The committee meets at least twice a month, the intent being that action should be taken on each new proposal within 20 working days of its submission. It is estimated that about five weeks are required for review when the proposal does not require clarification or additional data.

Chancellor's Office and CPEC policies effectively prevent campuses from projecting programs in some disciplines (e.g., no additional campuses are to enter the fields of agriculture and engineering). Informal and formal planning discussions discourage campuses from formally projecting other programs in campus plans. The Chancellor's Office annually submits to the governing board approximately 80 to 95 percent of the new programs that are projected in campus plans, with substantial variation among the campuses in the endorsement rate. After screening in the planning process, few programs are rejected when detailed proposals are submitted. After review, discussion, and consideration of additional information, however, about five percent of the proposals are withdrawn, many to be resubmitted at a later date.

Criteria for review of new programs are customary ones, but two aspects are relatively new:

1) New program proposals must contain a completed "matrix" chart on which both enrollment and faculty are projected for the year of program initiation and for the third and fifth year thereafter. The format requires projections and distribution of all campus enrollments and faculty, both with and without the proposed program, the purpose being to identify redistribution of existing resources. The intent also is to increase campus administrative and faculty awareness of the campuswide implications of implementation of the proposal.

2) Beginning with the 1980 planning cycle, campus master plans must justify each new projected program in terms of a specific campus mission and planning assumptions. In addition to assisting in the determination of the appropriateness of the program for the campus, such statements are intended, over time, to clarify similarities and differences among campuses, both at the campuses and in the systemwide office.

The Chancellor's Office procedures do not distinguish between review of graduate and undergraduate programs other than in the criteria for each level -- e.g., higher faculty qualifications are sought when a master's program is proposed. The Chancellor's Office encourages, but does not require, that proposals for new graduate programs be related to current reviews of existing undergraduate programs.

The Chancellor's Office does not systematically monitor the implementation of new programs, but does conduct an annual "catalog

review." Campuses annually report course changes that will appear in their catalogs, together with an accounting of courses added and subtracted. In past reviews, EP&R staff have found a few instances of offerings that have not had prior approval.

EP&R staff perceive their major concerns in new program review to be broader than those of the campuses -- i.e., statewide manpower needs, regional program distribution, reasonably standard terminology. They also believe that system level review improves curricular decisions in some instances by raising questions to a more objective perspective than may be available at the campuses.

Review of Existing Programs (Campus Reviews)

Since 1971, the governing board has required campus review of existing programs as part of the annual planning process. Existing programs are intended to be reviewed in a five-year cycle under broad policies that suggest examination of program goals and purposes, curricular content, resources, past and current accomplishments, and the number and placement of graduates. Each campus uses local procedures for review, and these are summarized in the annual systemwide planning document. This document also contains each campus's schedule for review of existing programs. EP&R staff monitor the scheduling, but have not as yet raised issues with regard to it with the campuses.

The campuses forward summaries of the findings of the reviews to the Chancellor's Office, and these are summarized and aggregated by EP&R staff for an annual report to the governing board. To assure candid and effective review at the campus level, the Chancellor's Office does not request complete reports, nor does it take direct action on the summaries that it receives; the assumption is that campuses will take corrective action where this is required. EP&R does retain the

summaries for reference in reviewing new program projections and proposals.

In early 1979, the Chancellor announced systemwide policies for the discontinuance of academic programs, specifying both substantive and procedural requirements: a proposal to discontinue a program would ordinarily be the result of a regular or ad hoc review; broad consultation would be required during the review; enrolled students would be protected; and faculty advice on the proposed discontinuance would be required. The policies also required that campuses develop written procedures for approval by the Chancellor. To date, eight of the 19 campuses have submitted such procedures.

Review of Existing Programs (Cross-Campus Review)

Reviews of existing programs across campuses are initiated by the Chancellor's Office when the need is apparent. Formal procedures for initiating and conducting such reviews have not been established. It appears that in the past EP&R staff have given major direction to such reviews.

A review of programs in industrial arts, industrial technology, and engineering technology was made in 1970, and a follow-up review in 1977. The consultative committee, appointed by the Chancellor, consisted of two campus deans, a department chairman, a faculty member, and an EP&R staff member. As a result of this review, proposals for programs leading to master's degrees in industrial technology were rejected, and campuses were encouraged to pursue an alternative course of offering an option to MBA programs.

A similar review of performing arts curricula has been completed in draft form, and is currently being reviewed by the campuses and the

faculty senate. What is considered a more comprehensive review of teacher education is currently in process.

Members of the Systemwide Faculty Senate have always sat as observers with the review committees, and, more recently, members of the review committees have been selected in consultation with the Senate.

# APPENDIX D

## PROGRAM REVIEW IN THE UNIVERSITY OF CALIFORNIA

Program reviews in the University of California have remained relatively unchanged over the past ten years. Both new and existing program reviews take place in the context of earlier systemwide planning documents (University of California Academic Plan, 1974-78, March 1974; The University-wide Perspective, March 1975) and of the currently developing University Planning Statement 1980 (Draft, September 30, 1980).

Responsibility for program review is divided both "horizontally" by organizational levels and "vertically" between administrative and faculty bodies. At the systemwide administrative level, responsibility for both new and existing program review centers on the Academic Planing and Program Review Board (APPRB) with five members from the Systemwide Administration, six faculty members, and four students. The Academic Vice President chairs APPRB and transmits its recommendations to the President. At the systemwide faculty level, primary responsibility for program review is with the Coordinating Committee on Graduate Affairs (CCGA), a committee of the Academic Senate. The Senate has been delegated responsibility for courses and curricula by the governing board.

Under the Academic Vice President, the office of the Assistant Vice President -- Academic Planning and Program Review (AVP-PPR) has direct administrative responsibility for program review activities, for planning, and for staff assistance to both APPRB and CCGA. AVP-PPR has a staff of some 12 professionals, of whom one member spends approximately full-time on program review matters, the others being involved as workload requires.

University and CPEC annual program inventories are used by AVP-PPR staff, and the University's information system -- currently in the process of extensive reorganization -- provides them with data by campus on enrollments by degree, degrees conferred, and faculty FTE by department or degree program.

AVP-PPR staff activity encompasses four types of program review: (1) review of new graduate programs; (2) of new undergraduate programs; (3) campus review of existing programs; and (4) cross-campus reviews. AVP-PPR spends subtantially more time with new graduate degree proposals than with either new undergraduate programs or campus reviews of existing programs. Cross-campus reviews by discipline are not routinely scheduled, although one or more has been undertaken each year.

New Program Review -- Graduate Degree Programs

Senate procedures for review of proposals for new graduate degree programs have been the responsibility of CCGA since 1961, and the general process has remained relatively constant over time. As major change occurred in 1971 when APPRB was interposed between the faculty group and the President to bring a broader planning perspective to recommendations.

Each campus has its own procedures for initiating proposals for new programs and these remain substantially as described in Academic Program Review in the University of California (October 1976). Both the Systemwide Administration and CCGA specify the information to be provided in the proposals that are submitted for systemwide review. Each campus annually submits a list of the titles of projected new programs to the Systemwide Administration as an update of its academic plan. The campus lists are reviewed by AVP-PPR, aggregated for a report to CPEC, and later used by AVP-PPR in reviewing

detailed proposals to determine if a proposed program is part of the campus plan. Projected programs receive more substantive, although less formal, consideration by senior systemwide and campus staff during the several scheduled "visits" each year to each campus that are part of the University's rolling, three-year planning and resource allocation process.

Campus proposals for new graduate degree programs are transmitted to both the faculty committee -- CCGA -- and the responsible administrative office -- AVP-PPR.

AVP-PPR prepares a preliminary analysis of the proposal for CCGA, raising such questions as student demand, employment outlook, unnecessary program duplication, and resources. Within the past year, AVP-PPR has also been providing CCGA with comparative data on similar programs at other campuses.

CCGA holds at least one hearing -- sometimes as many as four -- on each proposal, and elicits responses to questions raised by AVP-PPR and by its own review. CCGA has primary responsibility at universitywide level for assessing program quality. Recently, it has taken more interest than in the past in resource questions and in possible unnecessary program duplication because of uncertain fiscal and enrollment projections. Generally, all proposals submitted to CCGA require additional or more current information, and most of those submitted are ultimately approved by CCGA.

If CCGA approves the proposal, AVP-PPR prepares an analysis and recommendations for a program review subcommittee of APPRB. APPRB generally relies on the subcommittee review and recommendation, but occasionally raises questions of its own, requesting additional

information from the campuses. APPRB's recommendations are submitted to the President.

The governing board must approve proposals involving degree titles that are new to a campus (e.g., MFA, M. Admins.).

If the President approves the proposal, a summary is prepared by AVP-PPR from information provided by the campus, and forwarded to CPEC for review and comment. On receipt of CPEC's concurrence, the Academic Vice President notifies the campus of final approval. Three types of new graduate degree proposals are accepted as information items by APPRB and do not require Presidential approval: (1) concurrent degree programs which combine courses in two already existing programs; (2) graduate certificate programs in which a certificate is issued for work completed in an existing program; and (3) master's programs within existing doctoral programs. In general, unless new courses or additional resources are required, these three types of proposals are reported to CPEC, not submitted in advance for review and comment.

New Program Review -- Undergraduate Degree Programs

Historically, the Systemwide Administration has not reviewed campus proposals for new undergraduate degree programs unless they involved a new degree title requiring governing board approval. Current procedures were established in 1975 to facilitate CPEC's then new legislative mandate to review all new programs in the three public segments.

Each campus uses local procedures to develop proposals. The information to be provided in the proposals, specified by the Systemwide Administration, reflects agreements with CPEC, and information requirements differ based on four catagories of

undergraduate programs: (1) group and field majors which combine courses from existing programs; (2) professional programs; (3) programs with degree titles new to the campus; and (4) all other programs.

In general, if programs require new courses or new (or reallocated) resources, the proposal is submitted to CPEC for review and comment. Otherwise, new undergraduate programs are only reported. Campuses are required to submit all proposals to AVP-PPR, however, along with a statement of resource needs and a completed CPEC questionnaire; the decision on whether CPEC review is required is made by AVP-PPR. Information requirements differ among the types of programs -- e.g., a proposal for a new professional program requires evidence of discussion with representatives of nearby State University campuses if the proposal parallels existing programs at any of them.

Proposals for new undergraduate programs require the approval of the Academic Vice President, but this approval is routinely given when proposals comply with systemwide requirements for reporting programs to CPEC.

As with graduate programs, a list of projected undergraduate programs is annually submitted to AVP-PPR by the campuses as part of their planning processes and AVP-PPR consolidates the campus lists in an annual report to CPEC.

Review of Existing Programs -- Campus Review

Review of existing graduate and undergraduate programs at the campus level is the responsibility of the local division of the Academic Senate. These reviews are conducted to satisfy the faculty and administration that standards of quality are being maintained and to

provide specific constructive advice about the strengths and weaknesses to the unit under review and to others responsible for the program.

Each campus uses its own procedures for selection of programs to be reviewed and for the detailed content of reviews. Campus reviews are described at length in Academic Program Review in the University of California (October 1976), and the descriptions remain substantially accurate. Although the 1976 report is addressed primarily to campus faculty and administrators, one recommendation suggests the desirability of comparable information across campuses to improve the consistency of review reports and to increase their utility at each campus and among campuses.

Results of campus reviews are reported annually to AVP-PPR in summary form, and these are consolidated by AVP-PPR in a report to CPEC. AVP-PPR monitors campus reviews to assure accurate reports to CPEC, but not for the purpose of determing campus compliance with campus review schedules or policies.

In September 1979, the President issued systemwide policies requiring each campus to establish written procedures for the transfer, consolidation, disestablishment, and discontinuance of academic programs and units. These policies note that such procedures should normally require a regular or ad hoc review of the program prior to a decision to discontinue it. Most campuses have submitted procedures, but AVP-PPR has not yet reviewed them for compliance with Presidential policies. The policies, in addition to asking for written procedures, require consultation with faculty and students, peer review of program quality, and, whenever possible, review by scholars from outside the University. Campus procedures are also to protect enrolled students and to make "appropriate accommodations" for affected faculty and staff.

Review of Existing Programs -- Cross-Campus Reviews

In the early 1970's APPRB initiated reviews of selected program areas on a systemwide basis where planning problems raised clear-cut systemwide issues -- e.g., possible unnecessary program duplication, shortages or excesses of Ph.D.'s, etc. Cross-campus reviews under APPRB auspices have been conducted of programs in administration, marine sciences, education, and classics. Engineering programs are currently under review.

Reviews under ASPPRB auspices were conducted by ad hoc committees appointed by the President in consultation with the Academic Senate, and these committees were staffed by AVP-PPR. Committee recommendations were made to APPRB, which sought comments from concerned campus chancellors, Senate committees, and others. APPRB's recommendations were then made to the President.

In September 1980, the President approved new procedures that require joint sponsorship of cross-campus reviews by the Systemwide Administration and the Academic Senate. Systemwide administrators view these procedures as a significant step forward in shared governance. Responsibility for initiating cross-campus reviews is shifted from the administration (i.e., APPRB) to a committee composed of the chairs of APPRB and three major Academic Senate committees. This committee can arrange for reviews on its own initiative or act on requests from the President, the Academic Council (somewhat of an executive committee of the Senate), the Council of Chancellors, or an individual campus chancellor.

Cross-campus reviews will continue to have their primary focus on the maintenance of high academic quality just as do local campus reviews. Cross-campus reviews by discipline are not routinely

scheduled, however, and will be initiated whenever specific concerns go beyond the purview of any one campus. The procedures note that such concern might arise when a campus proposes a new graduate program that already exists on one or more other University campuses. Systemwide administrators stress the substantial cost and effort expended in conducting cross-campus reviews.

# EXHIBIT E

## REVIEWERS

The program review descriptions (Appendices A through D) benefited from review by the organizational representatives for the study: Ernest Berg, Carlton Bovell, Norman Charles, and Anthony Moye. We, not they, are responsible for any errors, however. We are grateful to them and to others who took time to respond to our request for comment on "tentative recommendations." Despite substantial difference in format, this final report profits from the valuable suggestions of these reviewers. They are:

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At the Center for Studies in Higher Education, University of California, Berkeley, Martin Trow, Steve Weiner, and Janet Ruyle afforded us an opportunity to discuss the study with state, administrative, and faculty leaders at two seminars.

At the Office of the Chancellor, California State University and Colleges, Alex Sherriffs and Yvette Fallandy afforded us an opportunity to meet with systemwide administrative and faculty senate committees.